

Drug-Free Communication Feb. 16, 2007 Washington, D.C.

**Welcome and Opening Remarks: Requirements of DFC**

**Jack Claypool:**

Good morning everybody. It's cold outside. It's the last day of the conference. There's enough luggage back there to load a 747. I know everybody's like, oh, it's morning. Please. Good morning everybody. Believe it or not. We're actually going to have some fun today, OK. The idea here is we're going to teach you how to access federal dollars. That's good stuff, yeah? OK. See, we got applause for that. See, there was a rumor going around, it's not true -- we are not, in fact, handing out buckets of money. So whoever started that rumor, I need to talk to you before the conference is over with. In all seriousness, we're glad you're here. My name is Jack Claypool. I'm the administrator of the Drug-Free Community Support Program at the White House Office of National Drug Control Policy. It's hard to get that out with one word, isn't it?

And what I'd like to do right now is invite a very good friend of mine -- many of you understand and have seen in a lot of our communications -- when O and DCP first started managing, when Congress created this program a number of years ago, they also

created a group of community leaders who are our advisory group for drug free communities. And Dennis Griffin, from California, is one of our advisory commission members for drug-free communities. And he is truly one of the most dedicated and passionate community leaders I've ever had the opportunity to meet. As a result of the work that he does, there are literally thousands of young people across our country who are free from the ravages of alcohol and drug addiction because of his commitment and his vision and the work that he does. And in order to bring you welcome this morning, on behalf of the drug free communities commission, I'd like to introduce Dennis.

[applause]

**Dennis Griffin:**

Thank you, Jack. Well, it's an honor and a privilege for me to be here today with you folks. And it's -- it's also a honor to be appointed to this position by the president. I'm with Team Challenge. It's a faith-based organization that has provided prevention and recovery support services to young people across America for close to 50 years. And 2008 will mark our 50th anniversary. And I've been with Team Challenge for 30 of those years and have served the US and international office in various capacities over those years. And I admire those that are involved in the work of pushing back American's drug problem.

You know, we all have heard and perhaps even experienced too many tragedies in young people's lives concerning drug abuse and alcoholism. And folks, when you do the work you do, and I probably don't need to tell you this -- but when you do the work you do, we hear less stories. When you prevent somebody from ever starting, or you help somebody that has already made those mistakes. We hear less stories. And for some it is quite tragic. And for some, it's as if you're intervening at a funeral. It won't happen. I've often thought that if we didn't have these prevention efforts in America, I think most of the country would be in chaos. We appreciate the numbers and we've seen some numbers go down, but back in our communities, it's still at epidemic proportion and there is much work to do. And I am honored to be associated with drug-free communities, the coalitions that are involved in that work. I think it is one of government's best-spent dollars. When you use the discipline that the drug-free community program offers, it works, you push back the problem in America and we hear less and less stories. And I want to thank you for your involvement. As I said earlier, I enjoy being around people that share this same passion to see young people grow up in a healthy environment and experience all that God would have them experience. And, you know, I thank you for your interest in this field. I thank you

for your involvement. You know, I now have two children and four lovely grandchildren, and on behalf of those, too, I'd like to say thank you for what you're doing in our communities across America. God bless.

[applause]

**Jack Claypool:**

OK. Let me tell you a little bit about my background so you kind of have an idea of how we're approaching the day. For the O&DCP portion this morning, Ken Shapiro and I are going to be kind of ping-ponging back and forth, that's in an effort to make sure that you don't fall asleep. We're going to try to keep it mixed up a little bit. I was actually a drug-free community coalition leader in South Carolina up until March of last year, so I've been in Washington since last March. I guess about 11 months, now, and worked at the community coalition level in Columbia, South Carolina. So I've sat where you guys are sitting. I've had to write the grants, do the reports, and all sort of fun stuff. So, hopefully what you're seeing as you look through this year's RFA is you're seeing that over the last couple of years, we've made a very deliberate attempt to try to make this a whole lot easier for you at the community level to access the drug-free community support program. As a number of folks have heard me say, our goal here is you don't have to go

out and hire a grant writer to successfully compete for DFC, that the idea here is you ought to be able to put together a group of people around the table, look at the questions being asked, answer those questions in the way that they are asked, submit your proposal and compete successfully. There's no rocket science to this. There's no hidden agenda. There's no, gee, OK, what are they really asking. It's a very straightforward process and as Dennis said a few minutes ago, one of the things that we're proudest of with drug-free communities is the fact that we actually have the ability from the federal government to provide you, local community leaders, direct funding. And that's a pretty awesome opportunity from a government standpoint because it's not going through anybody else. It's not being filtered and some taken off the top for administrative fees to go here and to go there and by the time it gets to you, \$100,000 is \$3,95. All right? We don't want that to happen with drug-free communities. Our goal is that we're able to fund you directly and you do awesome and incredible stuff with that money.

Now, what we're going to do over the next few hours is we're going to talk to you some about the concepts behind the program, so you have an idea why we ask you some of the questions that we do in the RFA. A lot of it is driven by what is in the actual

act, itself. Other pieces are driven by what the science of prevention at the community level has taught us over the last several years. And we're very excited to have a group of very talented professionals who are going to be a part of that today. We're also going to talk about what constitutes a community coalition. We have a lot of folks who call into the office and they want to know, will you fund our after-school program. Or will you fund our drug dog? Or will you fund -- a lot of very specific stuff. Our idea here is it takes a coalition in order to actually change the community. For those of you who were in my communications workshop on Wednesday, you heard me say "no one of us can do it by ourselves." That if we're looking at really saving kids' lives and strengthening communities, then our goal is then we've got to have everybody at the table because resources are scarce enough at the federal, the state, and the local level that we've got to make the best use of what precious few dollars and precious little treatment space and prevention resources that we actually have. So we're going to talk to you about what a coalition is and how it operates. We're going to tell you some about the FY08 RFA in detail. And we're also going to give you some details of how to put your application together. The budget requirements, we save those for the afternoon because that's the exciting part. And we will

be doing questions and answers, and Ken will talk to you a little bit more about that as we go through the morning.

So, at this time, I'd like to introduce the person who really is the guts of this program. Ken's been with us for about three years, now. And I've got to tell you -- if it were not for him, my transition into this program over the last year would have led me to be jumping off of the roof of this building right now. He is an awesomely passionate individual who truly cares about what this program is doing and how we're doing it. And he is a great guy to have as my right hand. Ken Shapiro.

[applause]

**Ken Shapiro:**

Thanks, Jack. You said -- he just said something really bad. You said we're going to try to keep it mixed up. We're going to try to keep it straight, right? [laughter] Well, I'm just going to cover some of the sort of logistics of what we're going to do today so you know what to expect as we go through the day and then, as Jack said, we're going to jump into this. We have on the schedule here that our little portion here will go until 9:45. Our goal is to get it -- to get us a little bit ahead of schedule. So, we're going to do what we can with that.

One of the things I want to explain is you have in your hands a 161-slide Power Point presentation, which is ridiculous. And the reason you have a 161-slide Power Point presentation in your hand is because we're not doing this just for you. We're doing this for those who don't have the resources to be here. For those who are in other parts of the country and will come to these other workshops that we're doing in other cities. We have a responsibility as the federal government and as pointy-head bureaucrats to create a level playing field for all applicants. So, what we've done is we've created a Power Point presentation that's useful to you here sitting here today. It's useful to us as we go through these things. But more importantly, for people who can't be here and can't access this training, we're audio-recording everything that we're doing. We're going to post that to the Internet so that everyone has equal access to what we're doing here today. And so that they can pull down this exact Power Point -- we're actually even syncing it so that when we hit advance on a slide, those listening on the web, it will automatically advance the Power Point for them. So, we're basically doing everything we can to create an equal playing field.

The other thing we're doing, in that spirit, is you'll notice, and maybe you noticed when you came in but there are some mikes



throughout the audience, which seems like a nice friendly thing to do to give you a place to ask us questions, and as soon as I came in I said, get those things out of here. It's not because we're trying to avoid answering questions. We love answering your questions. We're asking that you write your question down. Throughout the sessions, there's always only one of us up here speaking. The rest of us will be walking around, grabbing the index cards, bringing them up, sorting them out across the professionals up here -- I can talk about myself -- and we'll figure out who's best to answer that question when we get to the question and answer session. So, if you would, please, if you have a question, we have yellow index cards throughout the room, and we have more and we can distribute more. I think there's probably not enough at the moment, so we'll get some more out there. But we'll distribute those cards. Write down your question as we go. We'll collect them. Please keep in mind, we will avail ourselves during the breaks and during the lunch and after the workshop. If you have a question that's very specific to your situation or your community, if you would withhold from putting it on a card and come up to us and ask us directly, if it's a very specific situation. If your question is more general or universal and you think it will help and apply to everyone else in the room, we really want you to write those questions down. We're using yellow in DC. We're going to use a

different color in every city. One of my big jobs as we go on this little tour is as we go, I type all of these questions and answers up so that we take the questions and the answers that we've given and we, as well, make those available to everyone who hasn't been able to make it to a workshop, and so that you have the benefit of hearing the questions that were asked in all of the other cities, so that we have a big, rich set of questions and answers on the web. Probably, by March 15, about halfway through the application process, you're going to want to check back with the drug free communities Web site, sometimes in mid-March, to go see those questions and answers as you're working through the application, if you choose to apply after you hear what we have to say today.

All right. So, Jack, I think you're going to cover this first slide, which is basically a review of the agenda and then I'm going to handle some of the early stuff here, the goals, and a little bit about the award information. Jack's then going to cover talking to you about who we are up here, and I think you'll take that opportunity, please, to introduce these folks. I think it's appropriate when their slides come up that introduce the organizations these folks represent. Then I'm going to talk through the real fun stuff, the requirements. So, Jack --

**Jack Claypool:**

[inaudible]

**Ken Shapiro:**

I'm going to do this one. We invited a bunch of congressional staff here today and if they're here, I apologize. We think Congress got it all wrong. There's two goals in the drug free communities program, and they publish them in the drug-free communities act, we kind of tend to think, in the wrong order. So we turned them around. There was nothing in the act that said we had to keep the goals in the order they presented them, so in the past, I think in the first nine years of this program we've always presented goal one and then goal two. And we turned them around this year. So, the first goal, and this is important, this is the goal that's published in the drug-free communities act, it's the goal that, as we evaluate the program and the success of the program, we look at these goals and these are the goals that we ask you in your work to be focused on in the community.

So the first goal, and I will read this but we won't read a lot of the slides, but is to establish and strengthen collaboration among communities, private non-profit agencies, federal, state,

local and tribal governments to support the efforts of community coalitions to prevent and reduce substance abuse among youth. That's about building a strong collaborative coalition. The second goal is to reduce substance abuse among youth, and over time among adults, by addressing the factors in a community that increase the risk of substance abuse and promoting the factors that minimize the risks of substance abuse. These are everywhere. They're all over the RFA. They're all over your reporting requirements. They're tattooed -- I have a tattoo with the goals. All right.

This year we have approximately \$6 million dollars available for coalition awards. As most of you probably understand but some of you may not, the awards are given out in 5-year cycles. We are driven by the number of graduates. That drives how many grants we can give out. This year, we have approximately 60 people finishing year-five of their grant. Those folks are able to attempt to apply for a year six. The law says that all comers must be treated equal. So those of you sitting in the room who are finishing year five of your grant, you are competing on equal ground. By law. We are not allowed to give special preference to new. Come in off the street or those attempting to get into year six. So there are 60 slots available this year. That's because, five years ago, we gave

away 60 grants. This year we were level-funded in the Congress. Therefore, we have 60 awards to give away this year.

The award amounts will not exceed \$100,000 per-year, per-grant. Now, some of you may know that just a few months ago, the drug free communities program was reauthorized for five more years through 2012. And in that authorizing language, Congress gave us the discretion to give grants, a grant ceiling, of up to \$125,000. We, as the administrators of the program, decided that would be a foolish thing to do this year. We agreed that it's needed, that \$100,000 is different in 2007 than it was in 1998. And we recognize that. But we also recognize that if we were to allow people to go up to \$125,000 this year, we would effectively bankrupt the program. We wouldn't have any new grants to give out. And as I said, there will be about 60 new grants this year.

Some of you may be asking yourself, if you're a new application -- as I saw, they're awarded in five-year cycles. And here are the three instances in which you should apply as a new applicant. You have never received one of the grants. Or, right now, as you're sitting here, you're in year-five of your drug free community grant that will expire at the end of September, 2007. Or there was some lapse in your funding at

some point during your five-year cycle. Those are the three instances in which you would apply as a new applicant. Everything we're talking about today, there is a process for those who are moving inside their five-year cycle. They need to submit a new plan. They need to submit a new budget. It's a different process. It's a non-competitive process. You all are engaged in a competitive process. When your application comes in, it's screened for eligibility. If it's determined to be eligible, then it's approved and it's sent off to a peer-review process. It will be reviewed by three of your peers in the field, and as you'll notice in the RFA this year, we're very proud of some improvements we've made to the scoring system. Each of those reviewers will use the scoring system we've created to give you a score between zero and 100. Basically, when those scores come back, we get a rank-ordered list. We figure out how much -- how many dollars we've got and we draw a line when we run out of money. It's pretty much that simple. So that's the competitive process in which you're engaged. Those -- once you're inside the program, you move into a non-competitive grant application process and you submit a new plan, you submit a new budget, it goes through what's called an office review or a desk review. It's reviewed by your project officer and the grants management specialist. It's a non-competitive situation. Those dollars are set aside for you as long as we

have the appropriation to cover your grant in out years. You're in a non-competitive situation.

**Jack Claypool:**

All right. How many of you in the audience today, this is your first time applying for DFC? Raise your hands. OK. We've got a good number of folks. We want to talk -- this is primarily for you guys for the next few minutes. Some of our veterans hopefully know this and understand it. But we want to help kind of paint the picture of where all this fits together and who the players are. For those of you in my workshop the other day, that saves me from jumping up and down from the podium so I don't break my leg.

First of all, the key player in this process is Congress. Right? Congress has two roles in drug-free communities. First of all, they authorize the program and second, they appropriate the program. One says the program can exist. The other process actually puts dollars into the till. OK? So the program was originally created by Congress in 1996 I guess it was. 97. I just drew a blank on that. How about that. And we put our first grants in the field in 98. So one of the really good things for us for next year is that we'll have the opportunity, as folks begin to graduate from the year-10 cycle, to expand the

program a little bit more. It was reauthorized for the first time in 2001, and it was reauthorized again this past December. So we have at least five more years of lifespan, thanks to the generosity of the United States Congress. It's an \$80 million dollar expenditure. A lot of the work that you guys were doing this past Tuesday, those of you who were here for KATKA. You heard Director Walters on Wednesday say the president has requested an additional \$10 million dollars for the program for fiscal year 08, which would move us to a \$90 million dollar appropriation. Hopefully, you had the opportunity to reinforce that message with the staff members of your congressional delegation, both the house members and your senators. It's very important that we have that opportunity because obviously we see a lot of value and benefit from the program.

So Congress has the first and foremost role to establish the program. When they first establish the program, they housed it within the White House office of national and drug control policy. And a lot of you may not know who we are and what we do at ONDCP. ONDCP was actually created by Richard Nixon during the Vietnam War as a result of a number of troops coming back from Southeast Asia who were addicted to drugs. And so that was the very beginning of ONDCP. We now are responsible for coordinating and overseeing the entirety of the federal spending



and programming effort as it relates to alcohol, tobacco and drugs. Primarily drug abuse. The only place we deal much with alcohol and tobacco is with you guys in drug free communities. We do some, a little bit with alcohol also in our national youth anti-drug media campaign. Director Walters is a member of the president's cabinet. He reports directly to the president. And each of us who work in ONDCP are primarily there to help guide policy and do some program management specifically as it relates to drug free communities and a few other program.

Now, there are two ways that Congress could have had us do that. We could have hired a whole bunch of people to actually run DFC out of the White House. Or we could look around the federal government and see who was already in place that was used to administering grant funds and had the infrastructure in place to do it. So, when you look at ONDCP's Drug Free Community staff, we're it. It's me and Ken. 747 of you and two of us. It's fun, trust me. It really is.

And so, what we do right now, is we have a contract, what's known as an inter-agency agreement with the substance abuse and mental health services administration, SAMSHA -- specifically SAMSHA has the opportunity for us to actually manage the grants, have a relationship with you as the grantees through their

project officers, write the checks and get the money to you. So, many of you had the opportunity to meet Terry Kline this week who's the new SAMSHA administrator. You've seen Dennis Ramiro, acting director of SEASAP. From the SEASAP staff, I know we've got Peggy Quig and I think Jamie Marshall. Peggy, did Richard make it in? But Peggy's back your way and Jamie, who is actually one of the leaders of our effort -- I would like to also ask the rest of our project officers, you guys are kind of spread around. We've got Mike Kazinsky up here at the front of the room. A number of our other -- project officers, don't be shy. Come on. Stand up. These are the guys you all will be dealing with should you enter the program. They're the ones who work with you all each day. Thank you, you all. They're our first line of contact with you as grantees. So they work with you to help guide you toward technical assistance. They answer your questions. They're your first place to go too when you have issues, ideas, comments or questions about what we have going on. Other parts of SAMSHA are also involved. SEASAP is a component of SAMSHA. So, here's the idea. You've got the president. ONDPC. And over here is Secretary Leavitt with health and human services, SAMSHA and then SEASAP. So, within SAMSHA is also the grant's management office. Those are the folks that actually manage the money for us. Barbara Orlando is with us on the stage. So, Barbara is a great person to get to

know because she's the one -- let me ask the rest of the grants management guys. I didn't see them come in. Ladies, thank you very much for being here. We're glad to have them with us today. And then there's other components also, when it comes to the grants coming in, getting them packaged, shipped out to peer review, getting the scores back to us. There's a lot of work that actually goes into making this work. Imagine, last year for example, we had 353 applications. So, imagine making copies of 353 applications to send to three peer reviewers. Each peer reviewer had 10 applications to read. That's a pretty big process, isn't it. There's a lot of stuff going on during the year to actually make sure that this program works. So we're very thankful to have SAMSHA and SEASAP as part of the team. They're the ones who actually put feet to the program and what we're trying to do.

We'd also like to introduce Jane Callahan. Jane is the head of the National Coalition Institute. We also have some of her staff. Let's see, Eduardo Carlton, is Karima here yet? Diane? I didn't see her. She's back over here. Many of you have seen the National Coalition Institute. Their role is to provide training and technical assistance. Our concept here is we want you to be successful from the get-go. The idea here is if we get you off the right foot, then we're not wasting that kind of

first year of federal funding with you trying to get organized. And so the Coalition Institution just helped us several months ago with this year's new grantees. We had a couple of hundred folks here in DC getting folks focused and off on the right foot. They are our national leaders in training and technical assistance for substance abuse issues, and we're honored to have Jane and her very talented team as part of our back-up and support for making sure you guys have the resources and skills that you need in order to be successful as DFC grantees. The other federal partner in this is the Batel Memorial Institute. Batel actually has a national evaluation contract for the drug free communities program. That, for those of you who are in your year five, you know about your comment and your data reporting. Those of you who are not in yet, we're not going to tell you that because we don't want to scare you yet.

One of the things -- Ken's the -- well, I won't -- he's the wizard of [inaudible] when it comes to doing our evaluation stuff. One of the things that's very critical to us, and we're going to spend a lot of time when you become a grantee -- and there is a lot of information in the RFA about you doing sound community evaluation so you can accurately identify what your problem is and when you tell us through that RFA process what you are going to do to address that problem, we're asking you to

give us outcomes. How are you going to prove that you actually were successful? That's very important to us. For those of you who were Tuesday for Capitol Hill Day, you heard Congressman Sander Levin stand up from the podium and say and say, it is critical when approaching Congress to have sound data to prove that we are in fact effective. Guys, \$80 million dollars in terms of federal funding is not a lot, is it? It would be really easy for somebody to decide, let's go spend this money somewhere else. So, when we talk about what we ask you for as grantees, in terms of your evaluation input to us, it's very important. What Batel then, does, is does the national cross-site evaluation. So their job is to take all of the data, from all 747 of our grantees, go through it, put it together and interpret it to give it meaning to us, to those who authorize and appropriate us on the Hill, and to the public at large so that we can talk about what we're doing right and what we're doing wrong. So we're very glad to have Batel with us because they help us tell those who make decisions about this program what's working and what's not. Ken, turn it back to you for some of our requirements.

**Ken Shapiro:**

Do you want to talk about how we define a community coalition and a community focus?

**Jack Claypool:**

OK. Let me do that right quick. I'm going to read this one because this is another one of those that's kind of defined through your RFA. It says for the purposes of DFC, a coalition is defined as a formal agreement and collaboration between groups or sectors of a community in which each group retains its identity, but all agree to work together toward a common goal with building a safe, healthy, and drug-free community. Now, I talked a couple of minutes ago -- we're about funding coalitions. And Ken is going to talk about the requirements about what sectors actually comprise a coalition. Folks, having done this at the local level -- if law enforcement is going out into the community and they're doing compliance checks because they believe that you have a youth alcohol use problem, and they write tickets to the individuals who are selling alcohol, but nobody is there to train them on how to do it differently, are you creating long-term sustainable success? You're not. If they go out and arrest individuals who are using marijuana in your community outside of your local high school, or maybe it's behind the church building, and you have a bunch of 15-, 16-year-olds smoking pot out there and they arrest them and write them a ticket, and for a PTI, they go out and wash the police car or clean-up the park, have we changed those kids' behaviors?

When you have a community that says, you know what, we're going to host the parties for the kids because it's safer that way, if I buy the alcohol and I'm going to take their keys, everything will be all right. Is that creating community change? All right. So when we talk about community coalition building, we want you to have around the table a true representation of who your community is, and not the least of which are our young people. All right? Ken talked to you a few minutes ago about why we put kind of the shift in focus. We have to organize the community first, because when the community is organized, we can actually reduce youth drug use. And that's our goal. We're aiming for our young kids out here. And so it's really difficult for us as adults to know what our kids are doing, what they want, what they need, how they communicate, if we don't have them at the table as part of what we're doing. For those of you who were at the awards luncheon yesterday, and you saw the young people who've been involved this week in some of the forum activities, stand up and passionately talk about -- they're going to stand in the gap and they're going to set an example in their communities, and they're going to establish a community norm that says substance use is not acceptable -- you've got to have that happening at your local level. So, when we talk about community coalition building, it's bringing all of the folks together so that, in fact, you are reflective of your

community. You have to be reflective of your community. You've got to bring those folks to the table because, otherwise, have you ever been there when it's -- you're programming to somebody instead of with somebody? Do you know what I'm talking about? When you're coming into the community and telling them what they need to do, how successful are you? Not very. When you're in with the community, that's where you create sustainable change. When we talk about drug-free communities, we're looking at long-term changes in the community environment. In other words, we don't want it to be acceptable for parents to host parties. We don't want it to be acceptable for businesses in the community who choose to sell alcohol to be supported by the community. We want the community to tell them no, we don't accept that. When we have communities who have drug dealers on the streets, and one parent pushes back and says you're not going to stand in front of my house, we want a community where that parent doesn't stand alone. We want a community where the coalition brings other parents to stand with that parent and say, we're not going to allow that to happen. When we had our new grantee training back in January, we had two of our grant staff members from Sumter, South Carolina, who came up to us one evening and said, wow, this is an incredible step. But we need to tell you something. Before we got on a plane to come up here, we had drug dealers come to each of our front doors of our homes and



threatened our lives if we came to Washington to be a part of DFC. Think about that for a minute, guys. This is not just a grant program to get a group of people together and have a coffee clique. Our purpose is to organize the community, to push back against those drug dealers. Our purpose is to take the precious lives of the kids in those communities and save them, get them help, get them the resources they need. Provide them alternative activities to be involved in. We're trying to bring the community together so that the community as a whole, once this funding is gone, the community keeps going. When the program was originally designed, it was only a five-year grant program. And the concept here is, that you start with five years -- we kind of prime the pump, get the community fired up and going, get the community organized, get the community to agree with what the challenges and problems are, get everybody on message, and then we pull that money and go somewhere else and do the same thing again.

Congress, in 2001, said we could go up to 10 years now, but still, after 10 years, you've got to be able to sustain that momentum and that effort and you don't do that just by yourself. One staff person in the community can't carry that effort. It takes the community together to make it work. So that's why

we're about community coalitions and that's why we love this program so much. Ken?

**Ken Shapiro:**

All right. That's an easy act to follow. Now I get to talk about requirements. I'm sorry. Barbara and Jamie are floating around. There are yellow index like I said before -- just hold them up if you have one. We already got three or four up here if you have a question. Just hold them up. Thanks. Jack, there's one I assigned to you, if you want to look at it before I'm speaking so you can be ready to answer. All right. I'm going to go through the eligibility requirements. I'm going to go kind of fast, and the reason I'm going to go fast is because you all can read. And I'd rather spend the time on the Q&A quite frankly.

This is all on Page Seven of your "Request for Applications" this year. We put it into a table format that basically lists what the requirement is and then we tell you how to document it. The stuff is pulled from the drug-free community's legislation.

All right, so you must have reduction of substance abuse among youth as your principal mission. Kidding you not, we got an application last year for an organization whose mission was to

build ships. Not kidding. They didn't go to peer review. Your goals and your objectives must target multiple drugs and address the two major DFC goals: we choose as a program to focus our evaluation efforts on alcohol, tobacco and marijuana because those are the drugs of highest abuse among youth in this country. You tell us what the problem is in your community. If you have a big threat with prescription drug abuse, you tell us, and that can be one of the drugs that you work on. But it's up to you. It must be at least two drugs, though. We're not able or willing based on the legislation to fund an organization or a coalition that's focused on a single substance abuse. You must demonstrate that coalition members have worked together for at least six months. You basically have to be together for at least six months, and you'll show us that by having meeting minutes that are at least six months old. You must have substantial participation from volunteer leaders in the community. We are not permitted to fund two coalitions in the same community, unless those two organizations demonstrate cooperation with one another. So, if you submit an application and there is already a grant going into that community, if you don't show us a memorandum of understanding with that organization or some form of cooperation, we're not able to fund you. We can't put two grants that sit on top of each other unless there is a cooperation between those two organizations.

We do a really painful job, which is to basically take all of the zip codes you say you serve, and we try to look at any overlap against all of the other grantees. So, if you can imagine, 700 grantees, and all of those zip codes is really not fun. The coalition must be or make arrangements with an organization legally eligible to apply for a grant. This again, like Jack said, this is where we think this program is so great. We do not give money to states. We don't give money just to counties. We give monies to grassroots organizations and we have gotten creative and we find ways to make sure that we continue to give money and grants to grassroots organizations. So, if you're a community coalition and you don't have a non-profit status, you can go in your community and you can create an arrangement with some organization that's willing to serve as your fiscal agent so that you, as the grassroots coalition, can get this funding. Barbara will speak about that later today. You must have representatives from all 12 of these sectors. If you submit an application, and you are missing one sector, we would be breaking the law to give you a grant. You must have all 12 sectors in your grant application identified. You may not double dip, so those of you who have a 17-year-old mayor, you can't count that guy or that girl as your youth and your law enforcement. You must demonstrate that you respond in a comprehensive and long-term fashion and work to develop

consensus regarding the priorities of the community to combat substance abuse among youth. And I think we get at this, you'll see, with some of the questions we ask, especially in section D, implementation, as well as some of the questions we ask your peer reviewers to look at when they're looking at your budget, which, this year, is worth 10 points. We will not allow more than one grant per fiscal agent, and sometimes that seems a draconian policy. Our goal there is to make sure that we don't get professional DFC grant-writers out there who build little fiefdoms. We want to make sure the money flows down, deep, always. You must demonstrate you have matching funds, dollar-for-dollar, in year one, and then in year seven, it goes up to 125. By the time you're in year 10, you have to have 150 percent of the federal dollars you're receiving. You must demonstrate a match of those dollars. They have to come from non-federal sources. So the money that's coming through SEASAP down into a SPIFSIG or a block grant, those are federal funds. If you can trace them back up to the federal government, you may not use those as your matching funds. You may use in-kind services, and Barbara will speak more to that volunteer time, rent, if people provide you with your telephone lines, thing like that may be counted as your match. You must itemize them separately in the budget worksheet and explain them separately in your budget justification. Again, later in the day, Barbara

will get into great detail about this stuff. There is an exception for Native American grantees or grantees, and I believe it's on the next slide -- it's not -- grantees who are - - who have an individual from Indian Health Services or what are the others, Jane -- do you remember?

**Jane Callahan:**

Tribal government?

**Ken Shapiro:**

Tribal government. If you have a representative from a tribal government, there are different requirements about the match, and the difference in requirement is you may use federal funds.

All right. Evaluation. You, as a grantee, must conduct biannual surveys to measure progress and effectiveness, and we give you four specific measures across three substances that you must measure biannually. They are, as I said, alcohol, tobacco, and marijuana, and you need to measure age of onset, frequency of use in the past 30 days, perception of risk or harm, and the perception of disapproval of youths by adults. We require you to collect this information to give us a picture and to give you a picture, more importantly, of what's happening in your community. So you need to figure out a plan to collect this

information that demonstrates what's happening across these measures for these substances in your community. So, if you tell us that you want a grant to serve Cleveland, all of Cleveland and it's 500,000 inhabitants, and then you give us a survey of eight kids with a pre-test and a post-test, you have not told us about the health of that community and its youth. It needs to match. There needs to be congruence between what you define as your community and your application and the data that you give to us.

Let me also back up. I think it's a good time to tell you another really cool thing about the program. Is, we don't tell you that you have to define your community as a school district or a census track or many census tracks or multiple counties. You tell us. Quite honestly, a big mistake that a lot of applicants make, is that they bite off more than they can chew when they apply. They say we're going to serve this three-county area, which is a huge job. So you want to make sure that you're biting off what you can chew. There is flexibility within the program within the five years. If you change that focus going into year two or going into year four, we're flexible like that. So be smart about what you define as your community coming in. We ask the peer reviewers as they look at your proposals, do you believe them? If you say that you're

going to serve a massive area, do they believe you can get it done? So just keep that in mind. All right. This is not that interesting, but you basically have to budget for a new grantee meeting, where we bring you in and we indoctrinate you. You're also required to budget to send a minimum of two people to a two-day meeting in DC each following year. And here is your reporting requirements that Jack talked about.

All right. You have to submit two semi-annual and one annual report. It's really -- I should have changed it this year and I missed this. It's really just two reports from your perspective. We are basically able, now that we have this online reporting system that we'll talk a little bit about later but not too much -- we're able to create the annual report without you knowing it. So you're basically submitting two programmatic progress reports per year through an online system. You're completing what's called a coalition classification system tool about one time per year. It's about a 45-minute web-based survey. You have to do a financial status report one time per year and then financial disbursement reports four times per year. And you see there on our Web site we have some information about the report due dates.



All right. You have to deliver your application on time. As I said, it will then be screened for eligibility and then subjected to peer review. We rank order them, average those scores, and then finally we draw a line where we run out of money -- and if there are ties, we break the ties by looking at geographic distribution and the designations of applicants as rural, economically disadvantaged and tribal. We hope to announce in August 2007 the funding decisions.

All right. Why do some applicants fail to get funded. They do not demonstrate that they meet the eligibility requirements. You would be amazed how many applications we get every year that have a coalition roster that's missing sectors and we can't send it to peer review if it's missing sectors. It's against the law. They are not able to describe the nature and extent of the problem in their community. This really comes into section A, needs assessment. You need to have a grip on what the problem is. We basically built our RFA upon itself, so in the beginning sections, assessment, you're telling us what the problem is. And from there, you're building a case about why you know that's the problem and what you're going to do about the problem. So, if you don't have that first building block, the application just really falls apart. Again, there's not a consistent focus from problem identification through evaluation. And applicants

that don't demonstrate they are focused on community-level change. That's the end of the Jack and Ken show this morning.

[applause]

### **Question and Answer Session**

So we have 20 minutes to go through some of these questions, and I see you guys are sort of parsing them out there. But I have two, here, that I can answer in the meantime. So, I'll read the question and then I'll give the answer in its obvious way.

All right. We have an 18-month-old coalition whose mission has been to reduce underage drinking. Is our coalition eligible in that we'd expand to alcohol, marijuana and tobacco? Yes. It's not a problem that the genesis of your effort was a single substance, as long as when you apply, your focus is multiple drugs. At least two.

Could you define what is meant by cultural competency? There are a number of slides in the first -- in the 10:45-12 o'clock session where we will cover cultural competency. Do you have some more for me that are ready?

**Jeff:**

All right. A couple of questions here. When are the mentoring grants due and when and where will the requirements be posted? We are in the final stages of cleaning up the mentoring RFA. We haven't talked a lot about that this morning, so for those of you who may not be that familiar -- when the program was reauthorized in 2001, Congress also authorized the availability of \$75,000 a year for up to two years for a drug-free communities grantee, somebody who currently has a DFC grant, for that grantee to actually mentor or shepherd the creation of another DFC coalition to help organize a community. And so that RFA will be coming out in several weeks. It will be posted -- we don't have a date firm yet. It will be posted in the same place the current one is on our Web site, and I think you have all of that in your materials, but it's [www.ondcp.gov/dfc](http://www.ondcp.gov/dfc). Drug Free Communities.

How does one prove one is a coalition? What is meant by formal agreement? First of all we ask for a couple of things. When you're identifying the sectors, we want you to not only tell us who's representing those sectors, but in the grid requirement, we're asking you to tell us a little about who they are and what they're doing. There are also memorandums of understanding between you and those sectors that are part of your addendum package. And we also look at your minutes, because you're

required to provide us minutes from your coalition meetings. I'll tell you, we were looking at one of the grantees one time, and their minutes, from their coalition meeting, talked about a new pressure monitor for the city water treatment plant and a new lawn mower for the city park. All right? I can tell you that as a peer reviewer would have looked at those and making determinations of how effective you would be at being a drug-free communities coalition, you're not going to score real high. OK? So keep in mind we're looking all through the RFA. We're looking at what you're telling us in terms of your assessment of your community all the way through your evaluation to see that the community is, in fact, involved. But there are a couple of very key ways that we do that.

What is meant by the purpose -- the purpose of environmental strategies, or do you want to limit access to substances, change the culture and context within which decisions about substance abuse are made. Or three, reduce the negative consequences associated with their use. Number three isn't clear. When we look at environmental strategies, and Jane is going to talk some about that in just a little bit so I don't want to steal her thunder, it kind of goes back to --

**Jane Callahan:**

You've already stolen it.

**Jeff:**

I've already stolen it? Sorry. I love my program. I'm sorry, I love my job. She's going to talk some about environment strategies. The goal here guys is we're looking at making broad-based sweeping impacts across the community level. She's going to talk about that in some detail. If that doesn't answer your question, when she goes through her slides in a few minutes, come see one of us at one of the breaks and I'll be happy to answer it in a little bit more detail.

Two questions. How will the proposed \$10 million dollar increase in 08 be spent? More available grants or increasing existing grants from \$100,000 to \$125,000? That's the first question. We don't know, yet, how we're going to be able to do that because the president asked for it doesn't mean it's there. OK? When the president asks for it, he sends it to Capitol Hill and Capitol Hill then makes decisions whether or not they want to go for that, they want to go for more, they want to go for less -- and in the great horse-trading that takes place in putting together a budget, if those of you who have followed it for example -- this year, we don't have a budget. We're actually operating under a continuing resolution for the year.

It was signed this week. Interesting enough, if it wouldn't have been signed, we wouldn't be able to stand here and deliver the training for you. But, the way we're going to look at this is once the appropriation gets done and we figure out how much money we have, we're going to see whether or not we have to stage it in with each new class that comes in beginning in FY08 and then FY09 and then in FY10. Or whether or not there is also sufficient funding to give that cost increase to those already in the pool. The reason we have to wait to see is money is critical to that. With over 600 continuing grantees in the pool this year, if all 600 of those asked for a \$25,000 increase, that's a \$15 million dollar expenditure. Big chunk of cash. We told you we've got \$6 million to spend this year, so when Ken was talking about bankrupting the program, that's the challenge for us.

The intent of Congress, when DFC was created, is we're always putting new grants in the field. So that has first priority, and we're not going to do anything that would hinder our ability to put new grants in the field.

Second question, how many grants will be available in 08? We don't know because part of that is going to be contingent on

whether or not Congress gives us more money than they have this year. So stay tuned for more of that this year.

If you have been a DFC mentee coalition but never received DFC funding, are you still considered a new applicant? Yes, you are.

As a new group seeking a grant, what is our chance to receive money if there is already a DFC grantee in our city? So long -- one of the things we ask you for in the RFA is to give us the zip codes of the areas that you are serving. If there is more than one of you in a community, and you aren't acknowledging that each other exist and you're working cooperatively and you have overlapping zip codes, then that's a problem. If you have overlapping zip codes, and you're telling us that you're working cooperatively or if your zip codes just butt up against each other and you're not covering the same population area, then that's fine. We have a lot of communities that do have more than one DFC in a defined geographic area, whether that's a city or a county. But what you can't do is you can't both be trying to serve the same people at the same time. Make sense? OK.

And then I'll let Ken, if you want to grab that one and pick up yours and I'll look at these.

**Ken Shapiro:**

All right. Is there a particular survey that you'd like us to use to measure the four measures? No. You use the survey you feel is appropriate. This is the same question asked in a different way.

Is there a timeframe prior to submitting the application that the sectors have to be members of the coalition? No.

Our coalition has been inexistence -- I tend to answer with yes and no's Jack, by the way -- I keep us on schedule, too. Our coalition has been in existence since 1998. How many copies of minutes, materials, et cetera should be included as appendices? We give you the minimum requirements in the table. You have to give us two sets of meeting minutes. I would give my two best sets of meeting minutes. This question -- this person was confused when I talked about -- they thought I was talking about a two-stage process that you apply and then you're accepted and then you have to submit a plan and a new budget, so maybe I wasn't clear about that so I'll quickly clarify that.

You're in a competitive process. You submit a plan, which is your response, your narrative response, to the RFA and included



in that is your budget for Year One. If you're approved and get funded in that competitive process, in order to go into Year Two or Year Three or Year Four or Year Five, you have to submit a plan for the next year and a budget to your project officer and they review that and then you're issued a grant if it's deemed acceptable.

How can you find out which zip codes/communities other coalitions are DFC-funded? If you visit the drug-free communities Web site, you can click on grantees and you'll see - - I think the link is list of grantees or grantee map and you click on that and you'll see a list of all of our grantees listed out by state and I believe we have their city there. If we don't, I will get that added in the next week. But it's basically incumbent upon you to reach out to those -- to the coalitions that you think might have an overlapping service area with you and see if, indeed, there is and try to create a cooperative arrangement with them. So it's basically incumbent upon you to find them and to handle that.

If the top 60 applications are from non-overlapping areas in, for example, California, do all grant dollars go to California? If that happens, I don't -- I -- no. You know what, we would probably use our discretion and create -- we would check in --

you know, we would check with Congress and see if they thought this was a good idea, but they probably would agree that we should do something to try to diversify the -- it's just not a realistic scenario.

We are a community planning council and all sectors are represented, but substance abuse is a sub-committee. Must the substance abuse have all 12? Yes. The -- it doesn't sound like the community council's mission is substance abuse reduction. The organization that is the coalition that is applying has to have all 12 sectors.

What is the least number of volunteers in the community? These are the types of questions that we cannot answer. The definition is, you have to have substantial participation from volunteer leaders in the community. We don't try to, on the front end, do an eligibility screen on that anymore. We used to. We now leave it up to the peer reviewers to determine that through the peer review process.

If we do not have representatives from all 12 sectors at the present time, although the coalition has been in existence since 1998, but, we have them all by the time we apply for the DFC grant, would we be eligible? Yes.

OK. Is the definition of youth those under 21 or under 18? I can't remember if it is 18 and under or under 18, but it is defined in this nifty difty table here on page 8 -- an individual 18 or younger.

Does the term "volunteer leader" exclude anyone who is involved in the coalition as part of their paid work? I wouldn't think so. No.

**Jeff:**

And I'm going to go through some more. The ones we don't get to in this break before we pick up Jane, then we'll get to them in the next break so we're going to get to all of them.

A couple of more here -- it appears that many coalitions don't get their sixth-year funding. The percentage is low. Why is that? I have heard that Mr. Walters is not in favor of re-funding the same coalition. An earlier comment said by law, we are applying equally in practice -- are we applying equally. Can you respond to this? Thanks. A couple of things. First of all, Mr. Walters -- the part about Mr. Walters not being in favor of funding continuing coalitions is not true, not a fact, number one. Number two, whether or not the folks who are making

the move from Year Five to Year Six this year made that move was based solely on the strength of their application. You heard Ken say, the application goes to three peer reviewers. Three peer reviewers rate and score it. That application comes back in to SAMSHA. SAMSHA then sends us a spreadsheet with a single-number composite-average score, those three scores. We fund down until we run out of money. OK. There's no cherry picking with this. We don't decide, hey, we like Dennis better than we like Ken and do that. So, it's based on the strength of your application. One of the challenges we saw this year, which is why I'm glad we've got some Year Fives in the audience, is a lot of folks thought that because they already had the first five years, they didn't have to work hard and write that grant for re-competition to make it to Year Six. That is not true. When Congress reauthorized this in 2001, there is a paragraph in the law that says we are not allowed to give any special dispensation to you making the move from Year Five to Year Six. Somebody asked me the other day in the hallway, well, why don't you ask a question so we can talk about -- why don't you ask a question in the RFA that will show that we have already had five years of funding? Well, that would violate the intent of Congress who said we can't do that. All right? So it is, in fact, true. We do not look at Year Ones versus the folks moving

to Year Six any differently. It comes through. We look at the peer review composite score and we make a funding decision.

**Ken Shapiro:**

Jack, can I add something to that?

**Jack Claypool:**

Yeah, go ahead.

**Ken Shapiro:**

It's in fact quite the opposite. When we sit down with the director and he looks at who's being funded in every year, he looks at us and he says, this is a measure of failure, not a measure of success that we put \$500,000 into a community and we have only a 50 percent success rate of those trying to get back into the pool. It's the opposite. He is dissatisfied with us and our performance. He views it as a failure on the part of the program that people aren't making it back into it and that we either haven't served them or they've failed us or it's a combination of the two. He wants to see people make it from Year Five to Year Six. We want to see that because it means we did the right things in those first five years. So it's quite the opposite.

**Jack Claypool:**

Yeah. Can we find out if and who already has a DFC grant? Ken already told you the Web site. The details are up there.

Can a community be defined across state lines, if the community sits on the border? Yes, it can.

Do the sectors that need to be represented need to be board members? No, they do not. They have to be involved as part of your coalition.

If your community does not currently have a perception of risk, harm or disapproval by adults, can that be built in as a data gap in the year-one needs assessment? The answer to that is yes.

We are very rural and have no youth clubs, but we have youth athletic traveling teams. Does that count as a youth-serving organization? Yes, it would.

If you are already applying for another SAMSHA grant, can you apply for this one? Yes, you can.

If you are a rural frontier county and have always worked with a neighboring rural frontier county, can you submit a two-county proposal? Yes, you can. OK. We don't -- we don't limit you. It's up to you. We actually have one down on the southwest border that covers several states, and their job is trying to coordinate across those areas. We would remind you that when you're looking at your 12 sectors, make sure your sectors are representative of the community you're serving. So, if you have a statewide coalition you're trying to fund, don't have your town police chief as your law enforcement sector. You've got to have somebody from state law enforcement, all right? It's got to be reflective of who you're serving.

Our continuation grants due the same day? No, your continuation, which doesn't impact anybody in here I don't think, is March 15.

And we are a college coalition serving 17-24-year-olds. We have many 17-, 18-year-olds, to concentrate on the first year students, can our grant be for underage minors? Yes, it can, but we remind you, multiple strategies across multiple sectors so don't just focus on one thing.

**Ken Shapiro:**

I think someone named Ronnie from Oregon submitted a question that was very specific. If you can go talk to Karen, who is standing up over there. And we aren't reading some of these questions because they are quite specific. So we will skip over some of the questions. I think we have a couple of minutes, right?

**Jack Claypool:**

Two.

**Ken Shapiro:**

Two. What are the outcomes to date of current grantees and where can one find best practices generated from these grantees? We actually, yesterday, had submitted to us the annual report of findings from our evaluation. It just came in. We're reviewing it now. We'll make it public, probably, I imagine that we'll get it on the web around the middle of March. So we're starting -- that's just emerging from our evaluation work.

Somebody is asking what the appropriate sources of matching funds are. Barbara will cover that in detail this afternoon.

Are there any other questions we should do right now that are ready?



**Jack Claypool:**

No. That's good. We'll let Jane --

**Ken Shapiro:**

OK. So we're going to grab these questions and sort of assign them out because I know there are more questions that haven't been answered. But we're going to turn it over to Jane Callahan. Jane, do you want me to do the PowerPoint so you can float around?

#### **Writing a Competitive Application with Jane Callahan**

**Jane Callahan:**

You know what, Eduardo was going to come up and do the PowerPoint and we're going to do a little duet like you and Jack but we're going to try to dance better. OK. Let me take a breath. Well, for those of you who know me know that I've been working real hard, since Sunday, doing the little conference that we had a few days ago. So I've got about 20 good minutes left in me. Maybe 30. And then I'm going to go home and for the whole weekend I'm going to be horizontal.

I'm Jane Callahan. I'm the director of CADCI's National Community Anti-Drug Coalition Institute. And before we get into talking about some really important things that are going to help you do a competitive application, I'd like to explain the Institute and the role that it plays in this little drama that we're playing out today. Number one, CADCI is an organization that's a private, non-profit 501(c)(3) corporation, so CADCI is not government. We are not SAMSHA. We are not ONDCP. What we are is -- we are a grantee of the drug free communities program. We just get our money for a slightly different purpose. The purpose of the institute is to help community coalitions, be they drug-free community coalitions or other coalitions become more effective. Now, our definition of effectiveness -- and this is really important -- is effective coalitions are able to develop and carry out an overarching community-wide strategic plan that over time leads to measurable reduction in substance abuse on the substance abuse problem or problems that they're working on.

For those of you who were at the CADCI forum and went to the breakfast with Terry Kline, the new administrator of SAMSHA, he kept saying something that was really important. He was talking about being able to move the needle. By moving the needle, what he means is communities that are able to bring about population-

level change, not for just a few people, not preventing substance abuse among a few kids, or helping a few people get treatment -- doing things in such a way that all of their efforts collectively are big enough to make a difference. So, if you're interested in applying for this program, if you're serious about doing a community coalition, that's the big enormous job that you're going to be taking on. Think long and hard about it because it's a wonderful job. It's a fun job. It's the kind of job that really could make a difference. But, if your heart is really in doing an after-school program, if your heart is really in starting a teen center, if your heart is really in youth athletics and that's where you want to be, then this is not the right grant program for you. But if you want to join with your friends and neighbors, roll up your sleeves, do some serious examination of the substance abuse problems in your community, then this is the program for you. It's exciting and gratifying work. It's the best job I've ever done.

Jack and I both come from drug-free community grants. He had a drug-free community grant in Columbia, South Carolina. I had a drug-free community grant in a community in California called Baleo, California. And both of us are in this work, along with all of our colleagues, because we love and believe in this program. I'm going to tell you a little secret. This guy over

here, do you want to stand out -- he's sneaking in today.

Carlton Hall works for the Institute. Many of you know Carlton who have been to one of his trainings. He's one of the best trainers I've ever seen. So we've been --

[applause]

-- we've been working Carlton really hard in about the last six months. He has not -- literally not -- been in the office long enough to unpack his suitcase. So, when we decided to start doing, to join in on these applicant workshops and go across the country, Carlton wanted to go to all of them. Carlton kept e-mailing me on his Blackberry. Carlton kept saying, I want to do St. Louis. I want to do New Orleans. I want to do Seattle. And I said Carlton, you've really been working too hard and we're going to ask you to sit out this one, right. So, what does Carlton do? He sneaks in today. This is how dedicated the Institute staff is. He's supposed to be at home, right? He snuck in today. Because I love him, he's not in trouble. I also want to introduce my colleague, Eduardo Hernandez Alacaron.

[applause]

Eduardo is also a member of the Institute staff. His focus is to be the deputy director of coalition dissemination and relations. So, he's the guy who reaches out and makes sure the

coalitions have good information about programs, policies, best practices and how you put together an effective coalition. Now, Eduardo is also a real expert in what we call cultural confidence. That's one of -- just one of his many areas of expertise. Multi-talented. Great individual. Also really dedicated. Although I doubt he would have snuck in today like Carlton.

**Eduardo Hernandez Alcaron:**

There's no doubt. I'd be horizontal right now, Jane.

**Jane Callahan:**

Dr. Diane Galloway, would you please stand up?

[applause]

Diane is the newest member of the Institute staff and she's the deputy director of our evaluation and research division, I guess we'll call it. None of us are big enough to be a department. There's about nine Institute staff total and her specific job is to help you figure out how to best evaluate your efforts over time. She works with Evelyn Yang who some of you know. Evelyn is also there to help you specifically work around issues of evaluation, measurement, student surveys -- all of those kinds of things that you need to do to really help you figure out how

to get to the root cause of substance abuse in your community and how to make a difference over time.

We have -- did you bring up those primers? Want to show people those primers? This is an example of the kind of information that's available through the Institute to not only help you put together the grant application but to also help you put together an effective coalition. Because the paradox is -- do you like those primers?

**Eduardo Hernandez Alcaron:**

I like them.

**Jane Callahan:**

He works hard, putting those primers together. We're hoping everybody takes just one of those home today, because if you take multiple copies, there's not going to be enough for everybody. But there is information on the back table about how you can order and get more. They are the basic building blocks, the things you need to think about and the things you need to know in order to put together a strong, effective coalition.

We're going to talk about three things today. We're going to talk about, first of all, the mysterious difference between a

coalition and a program. We're going to talk about how you put together an effective strategic plan. And then we're going to give you the seven habits of highly effective coalitions. What we call "the seven ways that you can use to influence community change." So, final thing about the Institute. We don't fund coalitions through the drug-free community grant. We don't review applications. We're not involved in the selection process. We don't write grants for people. We can't even or wouldn't review your grant, but what we can do, as you put together your application, and more importantly as you develop and carry out a strong community coalition is we can help you get smarter faster and that's what we're all about. So I thought it was really important that we clarify what our role is. As you look at the application, as you decide whether or not you're going to apply, whether or not you might want to wait until next year, work on your coalition, put together a better plan -- we are available, telephone technical assistance -- there is a flyer on the back. You can call us, talk to another staff member, Shannon Weatherly -- we won't answer very specific technical questions about the grant applications, but we will consult with you about the things that you're thinking about that can help you put together a good coalition plan.

So here's the paradox. The people, the communities, that are the most successful in getting drug-free community grants are the communities that put together the best plan, bring their community together in such a way that the drug-free communities funding is really like icing on the cake. We all know that \$100,000 grant, in and of itself, is really chump change in the big scheme of things. And we all know that in our own communities, that's where the big resources are. That's where your city budget is. That's where your police department budget is. That's where your school district budget is. That's when you've got -- that's where you've got business groups and volunteer groups and civic groups and friends and neighbors, neighborhood associations, faith community -- that's where the real people and resource power lies. The cool thing about drug-free communities is it funds you to be a coalition. It funds the stuff that allows you to do the coalition work. It will help you basically use that funding as venture capital so you can take a dollar of drug-free and go out and bring in \$10, \$20, \$30, \$40, \$50 worth of resources from the community to help strengthen your efforts.

So does that all make sense? Is that all clear to everybody?



OK. So, on the simplest level, a coalition is a vehicle for bringing the community together to develop and carry out strategies to reduce substance abuse problems. Simplest level, that's what it is. Who is a coalition? And this is where it starts to get different from a program. The elements or the sectors impacted by problems all contribute to carrying out strategies. You don't go to the coalition for what you can get; you go to the coalition for what you can give. And that's just as true for your school district, your police department, your youth-serving organizations. Now, everybody's got budget problems, right. Everybody's got resource problems. But, the notion is, you put all of your stuff together and collectively you can do a lot more than you can by yourself.

Coalition is not a problem, although partners often carry out programs as their piece of the community-wide strategic plan. So, that word program is used pretty generically, right? You can have a program that's an after-school program. You can -- you can have -- some people call their coalition a program, and in a sense, it kind of is a program. But what we're really referring to here is a coalition is not in the business of delivering direct service programs. Coalitions don't run after-school programs. Coalitions don't run mentoring programs. Coalitions don't start soccer teams. But what they do do is

they develop a plan that may include all of those things, again, depending on the need in your community. And then the partners. The sectors that Ken talked about -- they're the ones that might be carrying out programs as part of their contribution to carrying out the community-wide plan that the coalition has put together.

OK. Three essential differences between a coalition and a program. Now, nobody told me this when I started doing coalition work in 1990. I didn't really have a notion of what a coalition was supposed to be doing. So, a few years ago, some wise person came along and helped us put this together in such a way that hopefully you won't struggle with this in the way that many of us did early on. First difference is scale. We talk about moving the needle -- the whole notion behind a coalition is you're going to be operating on a large scale. Now, obviously scale relates to the size of your community. Right? So, if your community is defined as a neighborhood, you need to be working on a scale that is sufficient enough to make problems, substance abuse problems, go down in that neighborhood proportionate to the size of your community. If you're working in Paducah, Kentucky and you define your coalition as being all of Paducah, Kentucky -- then you've got to put together a plan

that fits the size of Paducah, Kentucky. Otherwise, your efforts are not going to be big enough to make a difference.

Now, some examples of coalitions that are working at sufficient scale and measuring their success long-term is they're looking at reducing 30-day use of alcohol, not for just a few kids, not for just the football team, but for all high school students in the community. That doesn't mean that your plan has to impact and touch every high school student in the community. But, what it does need to do is it needs to do enough good stuff that you're going to impact enough kids that when you do your student survey measuring whether or not you're successful, you're going to see those rates going down for all of the kids in your target area.

Another example is -- if you've got some strategies that you're doing to try to reduce tobacco use among young people, those strategies collectively are going to reduce tobacco use for all middle school students in the community. Very important distinction, so you're going to have to think big.

OK. You all know the coalitions -- the big enchilada, if you apply for this funding, you're going to basically agree that you're going to work in your community long-term to reduce 30-

day use of alcohol, tobacco and marijuana. You're going to work to increase the age that kids initiate the use of alcohol, tobacco, and marijuana. So, if the average initiation age of use of alcohol is 12.6 years, you're going to try to get it so maybe it's 13.7 years. You're going to try to reduce kids' perception of harm. Number of kids in your community that perceive that using alcohol, tobacco, and marijuana is harmful. You're going to try to reduce that. And you're going to finally try to increase the number of kids that believe that their parents would disapprove of them using alcohol, tobacco and marijuana. So, those are examples of longer-term outcomes, but in order to measure -- if you're getting there, you're going to need some shorter-term outcomes as part of your plan. And some examples of that are the percentage of all care-giving adults in the community with improved parenting skills. Percentage of all alcohol outlets in the community, passing compliance checks. Is this making sense?

**Audience (collectively):**

Yes.

**Jane Callahan:**

OK. Thanks. These are some examples of coalitions that are really kind of acting like programs and they have an

inappropriate focus on scale. They've got evaluation plans that measure the rates of use by program graduates, so the number of kids that graduated from the life skills program that are able to show improvements on a post-test as opposed to a pre-test. They've got evaluation plans that measure short-term outcomes as the number of people served. Now, for those of us, and that's most of us, who come from a direct-service background, most of those programs, most of those grants count number of kids served, number of kids that went through the program, number of kids that graduated from the program. For a coalition, that's not what you're interested in measuring, although programs that are part of your plan may be measuring those things.

Next. OK. Second big difference, and you've heard this mantra - - if you've ever been to any of our Institute trainings -- coalitions address multiple causes of substance use in a community. And this is probably the biggest, the most important distinction between a program and a coalition. Coalitions seek to insure that all causes that are identified as problems are addressed. So, it's not just enough to be doing one or two things, but you've got to put together a strategic plan. If you look on Page 43 of your application, it's a nice example -- Logic Model -- is a nice example of what an overall coalition strategic plan looks like from a big picture. You've got to do

enough stuff in a logical and well-planned-out way that's going to move that needle.

OK. This is an example of coalitions that have an appropriate focus on multiple causes. You're going to identify and report salient, personal, environmental risk factors. And you're going to work to attempt systems level solutions to the problems of substance abuse in your community, and those things include things like integration of programs, coordination of systems and changing policies and practice that lead to substance abuse by kids in your community.

OK. Next one. OK. This is an example of a coalition plan that might fail to address multiples. You've got logic models that don't identify root causes, and I'm going to give you an example of that. It's pretty easy to get data about kids' substance use in your state, right? Every state does something called the YRBS Survey and you can get good data about kids' use in your state. But if you're going work on a community level, the reason why you have a coalition is because substance abuse looks different in every community. The root causes are different.

So, a coalition that fails to address root causes of substance abuse in their community is probably never going to get to the

real reason why kids might be using in your community and consequently will never really see that needle move on your community level.

OK. The big one. Action plans that only implement programs addressing personal risk factors. So, doing programs, changing people's awareness about drugs, helping educate kids about drugs, increasing their refusal skills -- that's good stuff. Doing single strategies, peer-support programs, alternative activities -- that's never going to get you where you want to go.

Number three. Big one. Actors. In a coalition as opposed to a program, the action, the work, done by coalition is defused and taken by all members. It's not just the coalition staff that's running around, doing all this stuff, running the programs, reporting to city council, getting partners in -- it's everybody, all of those partners -- they're all taking action appropriate to their sphere of influence. So, for example, an appropriate action that might be taken by the police department is they say, we'll put together a program to do the stings. Somebody else might say, well, our Boys & Girls Club, we've got kids and we can help train those kids so they can go in and help you do the alcohol sting. That's an example, just a brief

example, of everybody's doing a little bit, because when everybody does a little a bit, the collective results can be huge.

Coalition staff only play a coordinating, supportive role. Now, this is a tough one because a lot of organizations that apply for coalition grants also happen to be in the business of doing direct services. So it's very typical for an organization in the community that might be a youth-serving organization. They take on the role of also being the administering agent for the coalition. Now, in that case, it's really important for people doing the work in the coalition to play a coordinating, supportive role, and not get involved in running over and doing life skills programs in the schools, although they might help start it. Or get involved in making sure that the after-school program has them reading stories every day.

Next one. OK. Members, sector representatives, act within their own sphere of influence, thus enlarging the coalition's ability to create needed change and implement multiple strategies. I think we've covered that, talked about that.

New members are invited to join in an effort to enlarge the coalition's sphere of influence and to gain needed capacity to



address additional root causes. So let's say you put together a wonderful coalition plan. You write a drug-free communities grant. You get funded. Is your work over here? No. You continue to constantly and continuously bring in new partners and members, both volunteers who don't get paid to be involved in your coalition, as well as institutional partners where it might be part of their job. And you're constantly and continuously working to do that. So, if the school superintendent is on board, and you get the coalition grant and the superintendent leaves and a new superintendent comes in, you go off and you get that guy on board. A new mayor gets elected. The old mayor was supportive -- you make sure that the new mayor is involved. Let's say you're carrying out an activity where you might need the help of the planning department. And the planning department hasn't been one of those 12 sectors. You go over, not necessarily the coalition staff, but the folks who are orchestrating the coalition. You bring them on board and you not only bring them on board so they can go to meetings and sit there every month -- you bring them on board because you say, we need you to do this. Here's our plan. This is what we're trying to do. We need you to do this piece because without your help, we're probably not going to be successful. Really important.

And coalition staff, again, they support the efforts of the partners. They assist with planning, problem-solving, information management, evaluations, report writing, those kinds of things.

OK. Signs of coalitions that don't use their actors appropriately. The partners direct staff, have them run around and do all of the work while they're supervising. Volunteers who are recruited to compliment support staff and program delivery. So it's not so important that you go out and get volunteers to run the local mentoring program as it is to get volunteers to be an integral part in developing and carrying out the work of the coalition. And, obviously, staff that implement direct service programs are not necessarily providing the role that they need to play.

OK. This is our pretty little slide. Except we're at the wrong one. It's backwards. I wonder how that happened. OK. This piece, and we're just going to take a few minutes on this, is about the strategic prevention framework. Now, you're going to hear a lot about the strategic prevention framework. So, anybody can sit down and write a drug-free communities grant, right? They can put it all together. They can write it all out, but that's not the point. The point of carrying out a good

planning process is you need people in the community that have skills. They need to know how to do good community assessments. They need to know how to build capacity in their community. They need to know how to put together a good plan. They need to know the steps of implementation, evaluation, cultural competency, sustainability. But it's not enough to know it. You have to be skillful at helping your community, your community sectors, carry out a legitimate strategic planning process. So, the way that we like to describe this in the Institute is -- there are skills that you need to have to put together a coalition. There are things that your community needs to do to carry out that plan, and you need skills to do that. And finally there are products that come out of that community planning process. If you do that job adequately, well enough, convincingly enough, you're able -- you're in a good position to write a good drug-free communities grant. If you don't have all of those elements or you're just getting started, you're probably going to be less competitive than a community that's really got this down. So remember -- the skills you need to have, the things your community needs to do, and then finally products that come out of that planning process. You're going to need a good community assessment. You're going to need a very good logic model. You're going to need a decent and plausible and convincing strategic and action plan. You're

going to need to be thinking about how you're going to be able to carry out the work long enough so you'll be around long enough to make a difference. And you're going to have to think about how you're going to evaluate your efforts, short-term, long-term and you're going to need to put that together in a package that's good enough to convince a reviewer that you've really got the opportunity to make a difference.

Funders don't fund need. Your community may be the neediest community in the world. Funders fund an opportunity to make a difference. So, when you put together your application, what you're really trying to convince people is if you invest a half a million dollars in your community over a five-year period, it's going to pay off. And it's going to pay off with measurable, population-level reductions in substance abuse.

OK. I'm not going to get into this. This part is in your PowerPoint. This is all of the elements of what your community needs to know, what you need to do, and the products you need to create. What I'm going to do now is I'm going to switch places. You want to come down here or you want to stay up here? OK. Eduardo is going to tell you the most important secret to good coalition work, and how you think about those strategies and how you put them together. And this might take us a minute to

switch because we only have one lavalier. OK. Put together questions if you have them.

**Eduardo Hernandez Alcaron:**

OK. Before I get started, Ken Shapiro mentioned to me that the primer series that we have back here are out. They're finished. There are four in publication -- assessment, planning, capacity and evaluation. These are all available on our Web site, which is [www.coalitioninstitute.org](http://www.coalitioninstitute.org). Go to the coalition resource section. They are in PDF format. You can download as many copies as you want. OK? So, again, the four in print from assessment, planning, capacity and evaluation, obviously corresponding to phases of the SPF. So those of you who are familiar with the strategic prevention framework realize that there are five. We are about finished with the implementation one, which should be out in a couple of months. OK? So I'm aware that those are out, that those are finished.

We also have some sheets which identify how to get technical assistance. Call our toll free 800 number and you can find out about -- I see Carlton sneaked out -- but Carlton's excellent training study academy or through other regional workshops. Or, we have a full-time person that's dedicated to provide technical assistance. She doesn't do it all. She incorporates all of the

rest of us to help do technical assistance, but there are the resources that we'd like you to be aware of. Please visit our Web site, which you can also get to through CADCI.org. But, the coalition institute is where the resources that you probably want to consult as you're preparing your application, and a lot of the things that Jane has been talking about are provided -- information is provided in greater detail in the primer series. OK. So I wanted to make that announcement, so those of you that may not have been at the CADCI forum or gotten all four of these and showed up today.

So, as Jack Claypool and Jane have eloquently talked about, the focus here is moving the needle on the community. The focus isn't on just doing another family strengthening program for 40 families because even though it's a wonderful model program, it's been evaluated, if I have 4,000 families and I'm doing 40, how is that going to move the needle? Right? So the focus on coalition is not to do programs per se as the goal but to move the needle in reducing substance abuse as you're required by this grant.

So, I've got everybody together. I've got my 12 sectors. I'm sitting there and, as sometimes we see at the Institute, now what. I'm a good community organizer. I've got all these 12

sectors are there. There's a Reverend Smith. There's the mayor. There's the police chief. There's the schools. Right? But as Jane said, it's not just to sit there like a bump on a log or have turkey sandwiches at lunch or to direct staff, talk about how we got this great after-school program for 40 kids when there are 40,000 kids, right. So we're going to go over what, in the Institute, we define as seven strategies, because you are looking at multiple strategies to move the needle to achieve this change. Right? So, the first one you can do -- and these are research-based. You can provide information. I can do public service announcements. I can do billboards. A lot of you do these. I can provide brochures. I can do them in multiple languages. I can provide information to kids that tells them about what the dangers of drugs are, et cetera, et cetera. That's the one thing that you can do that's going to be sufficient. Is this alone going to move the needle? Probably not. I think we have research that shows that. So you can do other strategies. You can enhance skills.

Well, OK, I can do a refusal-skill class. I can tell kids, here's how the best way, when some other kid offers you a joint, here's how you can do that. I can do workshops. I can have a retreat for my parents. I can have better parenting skills, right, and some of you do that. And these are important things.

They're labor-intensive, however. They're resource-intensive. Again, is that alone going to move the needle.

Think about this because I know some of you over the past have done wonderful programs, and let's just say Kara Kemper -- because I know Kara Kemper -- she runs the [University Youth Council?]. It's a wonderful program. OK. But I'm only doing 25 of these families. I'm only doing 25 families. I only have enough money to do a retreat for 40 families. So I can enhance skills, and that's a benefit to those that are directly involved in that. But Jane has just talked about, well, but wait a minute -- I want to move the needle. I want to have enough scale and scope, right? Scale and scope. There are 200 people in this room. Probably more, I don't know. 225 people in this room. If I'm working with the front row, am I going to move the needle?

I can also provide support to you. Or I can do a mentoring program. Or, where Jane and I come from in California, both transplants here in California, there was a big mentoring initiative. Right, Jane? And I can get people to mentor kids and, you know, we all know the research on mentoring is that it's really nice. It's hard to get mentors but it's really nice. I can provide alternative activities for you. Right?



OK. So I want to provide support for people. I want to have referrals. I want to do these things. Now, if you think about the first three strategies that I just talked about in five minutes, who is the focus here? Is it the community or is it individuals, families, or smaller discrete units of my community? I think if you look at these, you'll find that many of them are individual-focused or some discrete group, right? People who are parents in Washington elementary schools first grade. Parents of first graders or something like that. Or people who aren't providing referred to. But it's not really their entire community. So I'd like you to do me a favor and pay close attention to the next four, because I think you'll see that if you look at the next four strategies I'm going to briefly talk about, you'll see that the focus has changed. The focus has changed to a larger unit. The focus has changed to something to help you move that needle, OK?

**Jane Callahan:**

These are the elusive environmental strategies.

**Eduardo Hernandez Alcaron:**

Elusive environmental strategies. And there is a slide that's at the end of this that says, strategies four-seven are

oftentimes called environmental strategies. Right? Oftentimes called environmental strategies.

Well, I can enhance access, right? I can, for example, enhance access by being culturally and linguistically sensitive and appropriate right? All of a sudden I'm able to access larger numbers of people. I can ensure healthcare and childcare for a larger segment of the population. I can work with special needs. I can change the system here to reduce barriers to whatever it is I want to do. I can change consequences and dissents, and this is sometimes an interesting concept. Jane didn't mention it, but I have the privilege of doing the international program for CATCA, right. And I was in Peru not too long ago, and they were describing to me how in Lima, kids who are 10 years old can go to the neighborhood store and buy alcohol. This is what happens in developing countries, right. So I describe to them -- why is this able -- why is this situation occurring? Because there's no consequences. Right? Again, what happens to me if I do that. Nothing. So I can change the incentive or dissents, and if you think about impaired driving, we had Marlene Maramori, some of you probably heard from NHTSA, National Highway Transportation Safety. Think about this. Right? Some of you are old enough to remember as I do when getting a DUI wasn't that big of a deal. Right? It

really wasn't. And when I was in college way back in the 19-- that timeframe -- it wasn't that big of a deal. Now, in many jurisdictions, you can buy a car what it's going to cost you, right. But the consequence has changed. Some of you have worked on keg registrations, right. You register the key so that when you go buy a keg, your name is on there, right. So, otherwise you'd go to a party and who bought that keg of beer where these kids are drinking? I don't know. That guy came and left that keg. You change the incentives and change the consequences. And this doesn't have to be negative, right. Oftentimes, some of you are working with your merchants, right. Some of these people want to do the right thing. I'm going to help you card kids so underage kids can't buy alcohol, right? I talked to somebody here in Washington, DC who said, we have a serious problem. I said, what's the problem. Well, you got kids coming in from Maryland from Virginia from Pennsylvania from the District and they all use false documents. Which means I have to be an expert on four different kinds of licenses. Think about that. On four different kinds of licenses. We'll help you figure that one out. And we'll reward you for doing that. And some of you are doing these kinds of programs, but again, who's the focus. Is it the kid? Is it the family? No. It's the entire community. I don't want to just have one 7-11 place where you can't sell -- where you can't buy booze. And

the kids know where this is. I want all of these, right. I want to change the physical design. I'm working with a group that wants to change lighting in a park because the smokers have taken over the park. Right? And they're not just smoking Marlboros in this park, either, right. The smokers have taken over the park. You want to change the society. Some of you have worked in communities where you want to reduce billboards for -- I almost said it -- for certain alcoholic beverages, right, away from certain zones. Correct? Some of you work in communities where, in some parts of your community, some parts of your community -- tell me if this is true -- you go to certain neighborhood stores and the whole store seems like an advertisement for beer and tobacco. Am I right? OK. So you want to change that by adopting new public policies, right. Think about -- I always talk about tobacco because Jane and I were actually part of the tobacco wars in California way back when. When I was this, again, young undergraduate at UCLE in the 19 -- period of time --

**Jane Callahan:**

He's going to tell how he used to smoke in class.

**Eduardo Hernandez Alcaron:**

People used to smoke in class. Do you remember that? How many of you remember that? You used to smoke in class. The professor smoked. Right? This is true. And you'd be taking notes, like this, and you'd have your cigarette. And you'd flick your ashes on the floor. Am I exaggerating? This is true.

**Jane Callahan:**

Yes, it is.

**Eduardo Hernandez Alcaron:**

What happens now? If I went back there to that same school, probably, not only is it against the law, I bet you the other students would tell me to get out of that room with that tobacco product. Did we accomplish that by a prevention program? No. We changed the law. Look man, I'm sorry. If you want to smoke, that's your right. But you're not going to do it in any enclosed place in my state. Right? Got it. And now we're beginning to see really the rates going down, and cancer rates even, 20, 40 years afterwards -- 20 years afterwards -- going down. We could have done family-by-family literature, and think about this -- when you change the policy, there's an indelible relationship between changing policies and changing norms. Policy change influences normative -- the norms -- the community

norms. Right? There is this relationship. We have changed the norms of tobacco use in this country because we changed the policies. Got it? And what you want to do in some cases is change the norms on alcohol use. You don't want parents to think it's OK to provide booze for their kids. You don't want the older sibling to think it's OK to buy a six-pack and then give it to the younger kid. Right? So you can change the norms.

I think I missed -- what was it -- number seven, then?

**Jane Callahan:**

Yeah.

**Eduardo Hernandez Alcaron:**

Changing policies, changing systems. Changing systems is the one that Jane speaks about eloquently when we're philosophizing at the Institute. Some cases, you want to change the system in your community. Maybe the system change that you need is having more access to treatment. Some of you came to see the HBO special that CATCA had on Wednesday night. Think about treatment and how your community can do it. Maybe your system change, your policy change, is reducing outlets. Right? Maybe -- like, some communities are saying, look, we've got enough

liquor stores in this community, right. And our policy change is we're going to be really careful when we allow any more license applications to come in. We're going to change the policy on this. As people have changed policies.

OK. When you have a chance, look at four to seven, and you will see, as Jack Claypool talked about, this grant has a community focus to it. All right? This is not an individual-focused grant. Right? And -- a coalition isn't simply wow, here's some money to do some programs. Or I'll put more of my programs -- or I'll add a couple of other programs. No. This is about moving the needle and it's about thinking comprehensively -- maybe you can't act comprehensively at the beginning, but your vision, at the end of the five years, I'm going to reduce substance abuse, I'm going to reduce the rates of alcohol, tobacco. I'm going to reduce rates in an entire community. It's not good enough just to do East Paducah. It's not -- it's the entire community you have to do. It's not good enough to do one school. Or one discrete unit of the community. It's important to do them all.

So that's the message of the Institute. That's the message that we think is valuable to -- not just to get funding, by the way. Not just to get funding. But it's valuable to you -- if you get

funding this year or next year or you already had it, to do this. To think in that comprehensive mode and to think about this all the way through. In your planning process, if you're doing environmental strategies, I guarantee you your assessment will look different. Right. You may need to do environmental scans to find out what's really happening in your community. You maybe need to come out and count liquor stores and count where the bad apples are, OK. So, think about this as you work through the entire SPF. OK?

**Jane Callahan:**

OK. Thank you, Eduardo.

[applause]

As you can see, we're really passionate about our work. We're going to take a break until 10:45. Jack told me not to yawn at the podium, so I'm not going to yawn. See you back at 10:45 and we'll answer some of your burning questions.

**END OF AUDIO FILE 1**

## **Responding to the Request for Application**

### **Q&A**

**Ken Shapiro:**



-- and then suburban, and the fewest go into urban areas. And we're looking at why that is and trying to maybe fix that. But the majority of our grants go to rural coalitions.

OK. If you have a current, six-month-old -- at least six-month-old coalition, but it is not representative of 12 sectors, can you add in the coalition -- meet the requirements, or does the entire coalition need to be pre-existing? Again, at the time you make application, you need as 12 sectors at the table.

Previous grants have limited grant dollars to 20 percent for direct services and 80 percent for indirect. Is this still the case? No. We are not and we do not have that policy in place in the program anymore. You will notice that we are asking a series of questions -- we're trying to get at the same thing in a different way. We're asking you a series of questions to tell us why what you're doing is community-focused and is going to make community change. We're asking the reviewer -- you'll see there is not a section F, budget. Section F. That's a new thing. We've never scored the budget in the past. We're scoring the budget not. You don't answer the three questions that you see there in Section F of the narrative. We ask the reviewer to make a determination about your budget. Do they think it's addressing the two goals of the program? Do they

think it's likely to lead to community change? And something else very similar to that. So, we don't have the policy in place. We feel like we have the spirit of the policy in place in a different fashion. It's section H. I'm sorry.

OK. Regarding biannual surveys to measure progress and effectiveness, what percent of the target population must be represented in the sample? For example, our population is a township's youth. Can we survey health education students in the elementary, middle and high school? We ask that it be a representative sample, and you need to make a determination -- and then the reviewers will help you make a determination if they agree that that is a representative sample. So, make your case, in your narrative, that what you're doing is representative.

**Jane Callahan:**

It's a good question for evaluation and research folks at the institute. They can help you figure that out.

**Ken Shapiro:**

How do we appropriately acknowledge our last five years of history and also make a new case for five more years of funding? Please be specific. I cannot be specific, and I will not be

specific. I can't do that. I would be fired. We can't ask you specific questions about what you did in the first five years of your grant. There is a line in the drug-free communities act that says we cannot do that. You have had five years of federal funding and we're asking you some specific questions about community coalition work and that's your opportunity to demonstrate to reviewers that you have a plan and that you are confident and you have a track record that shows you can carry out that plan. So, you have an inherent advantage in the fact that you've gotten five years of funding. And naturally, that should shine through in your narrative response, because it's going to be more believable if you can say here's what we've done and here's how we know we're going to continue to be successful. And here's the results of what we've already done. So that's as specific as we can be.

All right. We're going to go to Mike Kasinsky from SEASAP.

### **Responding to the Request for Application**

#### **Mike Kasinsky:**

Good morning everyone. Please don't call me Mike Kasinsky. On the count of three, I want you to say, hi, Daniel's dad. One, two, three.

**Group:**

Hi, Daniel's dad.

**Mike Kasinsky:**

All right. Now I feel like I'm back in the neighborhood because none of the kids in my neighborhood actually know my name. So, the first thing that I'd like to do when I go around the country and I've taught grant-writing all over the place, but I'd ask that you spend about 10 seconds introducing yourself to someone you don't know. Whether behind you, to the side, because this whole grant announcement is about building relationships in your communities. So why don't we take a moment to do that.

[group hellos not on mic - not transcribed]

**Mike Kasinsky:**

OK, folks -- now, this morning, let's get back together. If we could get back together now. OK, let's get back. What I'll be doing this morning -- what I'll be doing this morning is talking about, first of all, this strategic prevention framework, which is our guiding principles, which is our guiding principles at the Center for Substance Abuse Prevention. And then we'll go into the narrative itself, the requirements of the narrative.

But, before I do that, I'm going to give you three nuggets, three kernels -- this is language that Dennis Embry, a developmental psychologist from Arizona -- who's here from Arizona? Anybody? Oh, there's one person in the back -- he says that much of prevention can be boiled down to these kernels and nuggets of wisdom. So I'm going to give you three little kernels and nuggets from my experience sitting in hotel rooms for five years with peer reviewers. And you wouldn't want to have these folks in your high school English class, as your teacher, because you would have had to spend that summer in summer school. Believe me. Because they're tough. They're tough. The first bit of wisdom that I would like to share with you this morning is I want each of you to think like you were a mouse. A little tiny mouse. Now, why am I telling you that? The first thing that I would like to say about mice is that, what. Well, they're very little. But, but, who said that. They're very strong. They're very strong. Yes. Yes, indeed. Now, you might think that I've got all this paper, this big grant announcement, is overwhelming. It's a lot. There are a lot of bullets in here. Twenty-two pages of narrative you have to come up with. A lot of rules and regulations. There's a lot of stuff. But I want you to stop thinking like that. I want you to think like our friend -- see, our friend the mice,

they're smart. They say, well, I see this big piece of cheese down in your basement or your kitchen or someplace. They don't say, oh, I'm overwhelmed. I'm overwhelmed by this task. I think I'll just turn back and go back into the hole somewhere and just give up. I'm not going to even bother eating that piece of cheese.

Of course not. Agency. They take little bites. They take little bites. So that's my first nugget or kernel of wisdom that I'd like to share with you this morning about this undertaking that you're about to make a commitment to. You've got to take this in small bites. In small bites. Second little piece of wisdom that I would like to share with you this morning is about excellence. Excellence. Like I said, peer reviewers are tough. They are tough. And I, based upon this experience working with peer reviewers, I want to share something very, very important with you. And that is do not send in a good application. Do not send in a good application. What I want you to do is send in an excellent application. An excellent application. To strive for excellence. Good is not going to get you funded, because there's going to be lots of good applications in this batch. If we get another 300 applications, there might be 70, 80, 150, 200 applications that are good. Those are not going to get funded. It's the excellent

applications that are going to get funded. So that's my second bit of wisdom.

And the third, related to the other two, is that you need to sweat all the details. Sweat all the details. Ken mentioned something about those meeting minutes before. I don't know if you heard that, that little comment -- that's a detail. A federal grant proposal is loaded with details that you have to pay real close attention to and when you're working with your team, your other coalition members that are helping you -- you need to have that other person constantly be asking you have we sweated all of the details. Have we answered every one of those bullets that we are about to go over. Have we looked at all of the requirements that Ken went through this morning. Have we covered them all. When it says detailed meeting minutes, then we have those. Twelve sectors. We hate to see you go through all of this work and then have your application thrown out from day one because you've not sweated all of the details. And if the narrative says we want 22 pages, please don't send me 23. Or if the narrative says -- you go to grants.gov -- it says, two weeks before, two weeks before, contact us to get all of that Internet mumbo jumbo straightened out with them, because if you try to hit submit 10 seconds before midnight on the 17<sup>th</sup>, what's going to happen -- you're going to get an ERROR message. An

ERROR message. Now, do you want all of this work between now and the 17<sup>th</sup> of April to be for nothing because you didn't catch that little detail? Or address. Oh we forgot. The FedEx man is coming and we forgot what was that exact address of where this was supposed to go because in the haste, something slips through the cracks. You can't let that happen. You can't let things slip through the cracks and expect to be successful at this. So that's my three nuggets, three little kernels of grant-writing wisdom that I want to share with you this morning that are very important to your success.

OK. Let's look at the strategic prevention framework. Our guiding principle. Assessment capacity, planning implementation, evaluation, sustainability and cultural competence throughout.

Now, many of you five-year grantees, but even those of you who are not, have already been utilizing this SPF in your work and those of you who haven't may already be doing so already but you may just be calling it something different. You may be calling it program funding. The key thing to think of when you're working with the SPF -- it's a process that works synergistically. That the elements, they can't really stand alone. Ken said something really beautiful before about that



first step, you know, assessment. How key that is. How key that is, the assessment. From which, steps later on, are built. If your assessment is thrown together at the 11<sup>th</sup> hour, half-baked, half-complete, how in the world are you going to have a good quality planning or a good communication process. Because so much is based upon your analysis of your community.

Capacity? Capacity to do what you might ask. Well, capacity as we talked earlier to implement environmental strategies that are what? Culturally competent and sustainable.

Now, this next concept, planning, absolute key element of the SPF as well and I would hope that you would take Eduardo's advice and take advantage, if you're not familiar with the SPF and some of these concepts. Well, read those primers about planning, absolute key. Planning cannot be done in a vacuum. Cannot be done in a vacuum. Ken mentioned this concept of a grant writer just throwing together the grant and there's not really any community planning going on, no input.

Implementation, well, you can do all of the great assessment in the world, you can have all of the capacity in the world, all of the human capital, financial capital, have a beautifully designed strategic plan and logic model, but when the rubber

meets the road and you can't implement what it is that you've got all this data for, have the capacity for, done great planning -- then, you're not going to see the community change.

And then evaluation. Evaluation needs to be connected to the problems that you've laid out. There are internal consistency between the two. You can't lay out one problem in your assessment, develop a logic model, and then develop an evaluation strategy or have objectives that are not related. And then of course the evaluation will give you internal feedback as to whether you're having any success.

So these elements to the SPF cannot stand alone.

And then cultural competence, which we'll talk a little bit more about, is absolutely key because, why. Because you want your interventions, not only just to involve the community -- you have respect for the community. But, to be successful. I mean, you can't do that if you've not integrated cultural competency into each aspect. And that will be key when you write each section of the narrative. That will be absolutely key.

Just these last two points -- grounded in, those of you trained in public health obviously recognize the steps: focus on

environmental strategies, multi-strategy approaches to accomplishing your objectives. These five steps assist the coalitions in developing an infrastructure. The infrastructure needed for community-based public health approaches, leading to effective and sustainable reductions in public health approaches leading to effective and sustainable reductions in alcohol, tobacco and other drugs. Next slide.

Now, one nice thing that you'll notice -- I know that you haven't had a chance to read the RFA yet, but it mirrors the SPF. The SPF is data-driven, qualitative and quantitative data. And each step of the SPF contains key elements to bring out community change. And of course, we require multiple and diverse stakeholders. Slide.

It's a continuous process, and as I said, each part of the SPF builds upon an earlier part. It has to be collaborative. IT has to be collaborative and inclusive to the community that you're working with. It's achievable, cost effective, and because it contains this evaluation paradigm, ensures accountability. And as I suggested, we hope you'll take advantage of those primers that Eduardo has put together for you.

Sustainability. In the first rule of non-profit accounting, as many of you know, is what. Is what? Sustain the program. Have more than one funding source. Have more than one funding source. How many endeavors have gone under because they relied completely on one funding. One funding? And this commitment -- now, we're raising this here, this morning -- it's not a question in the announcement, but you want to begin your thinking about this very early on, from the get-go. Not wait until, let's say you were funded and you wait until five minutes before midnight. That's too late. It's too late.

You need to begin very early thinking about what steps you are going to take to ensure the long-term sustainability of the project. I met with a coalition from Pennsylvania yesterday. I saw their newsletter. I saw all these banks and businesses. I was actually -- my mouth dropped open. I said, all I can think of was wow. Wow. They spend a whole lot of time on this concept. Really have broadened their base.

Sustainability involves making a commitment, making a commitment. To leaving no stone unturned. You can't be shy when it comes to sustainability. It requires a lot of planning. This is where the SPF can come into play. Not only planning for

your interventions, your environmental strategies, but you're planning for the survivability of your coalition as well.

Now, this is from CATCAs -- has a little handout which, available on your Web site? And we just provided this to you this morning very briefly. Sustainability, in terms of its -- in terms of trying to operationalize it, begins with a case statement. I mean, if you went to see a foundation, they would ask to see what is your case statement. What is your reason? You just can't say, well, we want to fund our executive director's salary. What resources are required? You need office space, et cetera. Cash. What's the strategy? What's the strategy you're going to utilize to accomplish sustainability? What sources are you after? Foundations? Federal government? Private individuals? Corporations? Et cetera.

And then the action plan, where the rubber will meet the road. Where the rubber will meet the road. Who in your coalition is going to help you do this? Who's going to have a role in this and what's the timeline or accomplishing it? Next slide.

OK. Very briefly -- what do we mean by cultural competence? What do we mean by cultural competence? Now, we passed out a

little handout, which it would behoove you to -- does everyone have that by the way? Everyone have that? That's from the SAMSHA Web site. Do you have that? Everybody? You're going to have to -- the -- in terms of the narrative, you're going to have to integrate material on your knowledge of cultural competence into your narrative. Into the answers to these specific questions. But getting back to what is it -- number one, well, you have to value diversity but it's not just about diversity. It embraces the principles of equal access and non-discriminatory practices. That's pretty much a no-brainer there. It involves working in conjunction with natural systems, informal systems, in helping networks, within a culturally diverse community. Next slide.

Now, what is culture? Culture would involve norms, values, traditions and accepted practices. When I take the subway in Washington, there's some very strange norms on the subway about not speaking and acting like you're walking dead. Which I'm not familiar with, like when I was living in New York City, you could actually hear people talking and playing their boom box people would be selling things and -- like in Washington, if you're even modestly mentally ill, out of nowhere comes two police officers, train stops, boom, the person is off. In New York, people will like sleep in the subway. You can be even

homeless in New York and just ride the subway, but it's different here. But the norm is not to say anything. Not to even say a word, unless you're about two-years-old. And I was watching this little child who was about two-years-old and the child was talking and I said, well, gee, I guess that child doesn't know what the norm is here. You're not supposed to speak. Somebody ought to tell the child.

And then cultural competence is not limited to ethnicity. You could say, well, I'm in a rural community. There's nobody here but white folks. Well, you have women. You have children. You have adolescents. They're absolutely difficult. Next slide.

Now, we want you to remember that diversity within cultures is as important as diversity between cultures. You could be a recent immigrant from another country and not acculturate. You're not going to be in the same place. You might be going through trauma. You might be going through trauma. One of my assignments as a grad school student back in the early 80s -- we had four weeks. It was a TA-learning lab. You'd TA for non-profit organizations. And we had four weeks to come up with a plan to resettle Eastern European refugees into the St. Louis metropolitan area. These folks were suffering from trauma as a result of the revolution going on in a particular country. That

was a real eye-opener. They were somewhere on student visas and were stuck. Couldn't get back. They're different from folks who were here a long time who shared the same cultural ethnic group. Very different. Even in their drinking practices. Some would drink this Russian vodka. I'd never seen this before. Straight up. Take the whole bottle and drink it down. Two-hundred proof. I'd say, wow, you drink this stuff. This is the kind of stuff you'd make your eyes turn white you would drink it. They would swallow it like it was water.

People acquire cultural proficiency over time. Cultural competence is a developmental process. Now, what makes cultural integration difficult is the social distance. You know, we fear. We fear people from other cultures. They're not like us. Next slide.

Now, drinking and drugging is a cultural influenced behavior. Culturally influenced. There's an environmental context. There's a history. It could be religious. It could be any number of things that influence drinking besides personal issues. And we understand that cultural competence is an ongoing process over -- it takes time to develop, what? Cultural proficiency. Not just competence but cultural proficiency. There's a great Web site that we post up here from



the Georgetown University Center, one of the leading centers on cultural competency in the nation that SAMSHA funds and HERSA, NIH -- they do some cutting-edge work. There are some great tools that operationalize the concept of cultural competence. You might want to take a look at it.

All right. The RFA. OK. Now, those of you who have not applied ever for a federal grant before, your application will be reviewed according to the published review criteria. The published review criteria. Now, there's a little piece of advice -- there's a little piece of advice that's very important in the announcement. It's in bold. See -- now why I want to point this out to you is because I wouldn't ignore it if I were you. Why don't we go to -- I want you to all go to page 12. Page 12 in the RFA. No, that's the -- OK. OK. In the RFA -- you see that first little bullet up there, you should respond to every question. You should respond to every question. This is not pick or choose. Boy, I wish it was like that. You could just pick and choose, you know. But that second piece of advice -- it's not advice. It's a requirement. Providing a narrative response with the question shown directly above each response. Now, the reason we are telling you that is because there's a template which we have provided to you in the back -- pages 45-50 of the RFA -- attachment six. Now, if I were you, and if I

was applying for that announcement, I would spend -- you know what I would do -- I would take those pages, attachment six, and tear them out. And put them aside. Stapled. And pay real close attention to attachment six. Because you're providing your narrative material in answer to these specific questions, from which the peer reviewers will evaluate. The simplest way to do that is to download the announcement from the SAMSHA Web site, in a Word file. Delete everything but the questions. The review criteria. And then you have them exactly. What I would not do is go back and try to retype each question, because you know what's going to happen, you're going to make a mistake. You're going to let something fall through the cracks. And when you forget a question, reviewers will have no choice but to give you, what, a zero for that answer.

Now, OK. Next slide. OK. We're there already. Good. There's a four-point scale from which you will be judged. With zero being one of the points. Outstanding, being the highest, in this [Lycart?] scale. But I'm telling you after spending five years in hotel rooms with peer reviewers, if you want to get that outstanding score for that answer -- you really got to sweat all of the details and submit an excellent response. OK. There's a raw score that's calculated, and then there's an additional three points that's added for continuity -- up to

three points -- and then all applications are scored between zero and 100, and let's presume that you're not going to get a zero.

OK. Why don't we move to community assessment. As Ken mentioned, this is a critical -- this is a critical section. The section is not for the faint of heart. Absolutely. Because you have to document -- you have to document your community assessment efforts if you have them. Next.

This one. OK. Why don't we go to the next one. Now, there's a little instruction there that I want you to pay close attention to. That's why I want you to keep those reviewer template sheets handy. And that is this one. The community profile is not scored but is required to give the reviewer a picture of your community, meaning -- you may not have a clue about your community. Don't make the assumption that they do. Make the assumption that they do not. But you have to provide here is what -- the end -- the end -- your denominator. That the county, multi-county -- that information, that census data, et cetera, et cetera -- it is not scored, but it is analyzed. And there are four -- there are four topics that you need to include in that section. A brief overview, demographics, geographic,

the boundaries, trends or issues in your target community that you're facing. Is it New Orleans? Hurricane Katrina possibly.

OK. Then we move from an unscored section into a scored section, now. Now you want to really start sweating all of the details. Remember what Jack said -- so many of the Year Five went down last year because they faltered, using old data, five-years-old. Or old archival data. Maybe they didn't go out and do key informant interviews. Focus groups. Used data that did not give an up to date, up-to-date picture of the substance issues in your community.

OK. We want you to identify, typically, if you include a table, then underneath the table you can identify the source of that data, the year it came from, how you gathered it -- let me just give you another quick kernel. In any proposal, you just can't get away with saying yes, we can do that. Yes, we can do that. Data, yes. Yeah. We can do that. You have to explain how you can do it. If this was a grant announcement for prevention of heart attacks, you can't say well, yes, I can save people if they have a heart attack. You would have to detail exactly how you propose to do that. And it's that how that becomes key. Here it is here, where the how becomes key.

Next issue that you'll be confronted with is if you have them, because these are key measures that are dealt with later in the evaluation -- you have to discuss what information you have with regard to these measures. And again, identify the data sources, how the data was gathered. Telephone survey. Et cetera. OK.

Next slide. We want you to clearly articulate the substance abuse problems you plan to address in your target community as a result of your findings. Clearly articulate the substance abuse problems. OK. Include any details related to risk and protective factors. And then how do you continually plan to update your original needs assessment?

And just a brief note on cultural competence -- this would be a key area in your narrative, for each one of these questions that are raised in this community assessment, to bring in the issue of cultural competence in terms of who you did key informant interviews with. Who was invited to focus groups. Did you invite any kids by the way. Did you invite any adolescents to be in a focus group. Because the reviewers will analyze all of that, so you need to think about -- how do I integrate my knowledge of cultural competence into each one of these answers. Because if you just sort of ignore it, and sort of ignore my advice about sweating all of the details, and just sort of

overlook this issue, it's going to be tough -- it's going to be tough for the reviewer to give you that outstanding score, that three points, for that answer.

So, assessment and cultural competence, your respect for diversity, your sensitivity for diversity will come into play big time here. Just by the who. Who it is that you -- who it is that you study. Who it is that you assess. How it is that you assess.

OK. Capacity building. Capacity to do what? Capacity to implement environmental strategies. Capacity building within your coalition, and the coalition's ability to lead and manage change within the community. This is worth, now -- it's worth 12 points. You want to keep an eye on the ball in terms of the weight that is assigned to each section. You don't want to be playing catch-up. You know, like in a football game, basketball game, you don't want to score a 10 in assessment and then it's going to be real tough, it's going to be real tough, to try to get funded when you're down, now, 12 points, and you're going into capacity. That means that you'd have to ace every other section, which is probably unlikely. Probably unlikely.

OK. Now, the bullets within that section. What resources exist in your community to target the problem addressed in your community assessment? And the human capital, not just the money, not just the money, but the human capital.

Infrastructure. Physical spaces. Commitments. The knowledge that you have in place that are appropriate to address the identified youth and drug-use problems in your community. Next slide.

Still on capacity-building. How will you manage? How will you manage the resources at your disposal? Now, again, here in these next issues that are being raised provides a great opening for your knowledge about cultural competence. Is this top-down structure, where you really don't want to hear from anybody, and somebody just making decisions and -- or do you really try to allow for a structure that leads to consensus decision making, allows everybody's voice to be heard. All of this you are going to have to think about and discuss in relationship to your answer, and lay all this out here, with this idea of being cultural competent.

And then what role do key partners in coalitions play in your coalition. Required 12 sectors. Again, it opens you up to another discussion. See, each one of these questions you'll

have to answer in a culturally competent -- culturally proficient manner -- or else you're not going to get the full score for that section, for that question. How will you maintain and strengthen the coalition and the prevention effort over time? How will you maintain and strengthen the coalition prevention effort over time? It's a tough question. And how will your coalition train and encourage and mobilize your current and future leaders, your workers and your volunteers? You can't just throw something on paper and expect these questions require some thinking, deliberate, thought-out response. You don't send in something that someone else in your community hasn't read first to give you some feedback. Absolutely -- absolutely wrong to send in something that you haven't gotten some feedback in. If all you're sending in is your first draft of some of these answers, like that one, what do you expect?

OK. Again, it's going to require some thinking here. What are your community's gaps in resources and services and how do you plan to address those specific challenges. You're going to have to think about assessing here what your gaps are to even answer that question. What your gaps are in terms of knowledge of environmental strategies, community readiness to achieve these changes. If I use my little subway question, if I had to answer



that, I'd say, well, the people on the subway, I don't think they're quite ready for Daniel's dad to inter -- create a norm change here about speaking on the subway. They just don't seem to be ready, except for this little two-year-old. Maybe if I heard maybe one or two people speaking then I would get a good sense that maybe I could start a new thing here, being nice. Being nice on the subway.

Next. We're going to take some questions on sections A and B, assessment and capacity building, and then we're going to break for lunch.

#### **Questions on Sections A and B, Assessment and Capacity Building**

**Ken Shapiro:**

All right. Mike, I'll ask some -- I'll read the questions and some of them I'll point to you to answer and others I'll just answer because they're pretty straightforward. Is that all right?

**Mike Kasinsky:**

Or you can answer them all.

**Ken Shapiro:**

All right. I live in an area that previously received a grant, but their coalition focused mainly on outlying areas of the city. Our focus is inner city. Will their receipt of a grant, should they re-apply, hinder our coalition? We do currently collaborate on certain concerns. Again, the answer is, as long as you show that you're collaborating with that organization, one will not hinder the other.

What is your advice to a strong, true, community coalition that received drug-free for five years but did not receive year six, but is reapplying for this year? I think we've answered this question -- we can't give you advice and we can't make the application give an advantage to you. You have to make the case in the narrative sections that we're covering here, A through G, this year, I think.

Does acquiring other large grants negatively impact a coalition in the drug-free community process? No, it does not.

I haven't had a chance to pre-read all of these so I might stumble. Do you have some there, Mike, that you're ready with?

**Mike Kasinsky:**

This one says, what if you have to change assessment tools? The state will no longer support past survey used and may no longer have access to that particular tool. I guess you're talking about a state survey that was done statewide and you think that you're sort of at a loss in terms of the four core measures. You certainly -- there are, on our Web site, on the SAMSHA Web site, there is the CTC survey. I've had grantees create their own survey with measures taken from the CTC which they had access to the schools. So I wouldn't let that be a stumbling block to you applying.

**Jack Claypool:**

It says how are the peer-reviewers selected and what type of training is involved for the peer reviewers to ensure that there is consistency in review scoring of all submitted applications? First of all, we look for folks that have community coalition experience and alcohol and drug prevention experience. Somebody asked me this question one-on-one earlier: we're not looking for research scientists and statisticians. We want folks who are doing this same type of work that you're writing your application for. Those folks send us their resume and their background. We go through them and screen them, along with SAMSHA. They then go through a training process with us, where we walk through the RFA via teleconferencing, so they understand

what each section is, how to do it. Another question related to that was do we then provide feedback to you, the applicant, so you know what worked, what didn't. Ken referred a little bit earlier to the fact that each question is scored this year. In years past, you only got a section score. So let's say in capacity building you have five or six questions, and you received a low score and you didn't know where, in there, you needed to adjust for next year. So, by scoring each question, you will, in fact, know where you did well and where you didn't. You will receive those documents back whether you receive a grant or not. You'll recall I said you get two mailings back from SAMSHA. The first mailing gives you all of that peer-review document, the background information, any individual notes in addition to your score sheets. So, if they write notes related to certain sections that the reviewers thought were good or bad, you get that stuff back in one of those two mailings.

**Ken Shapiro:**

Can you do a chart to show your coalition structure as long as you add the narrative on it? I believe so, right. They can include a chart of their organization and the narrative. Is that correct, Barbara?

**Barbara:**

They need to do an organizational chart of their coalition --  
Let me look at it.

**Ken Shapiro:**

OK. We're going to get a specific answer to that in one second.

I'm in a very rural community and have some small businesses who are open seven days a week, but are willing to work with us as best they can. Can I count them in as partners, even if they are not able to attend the coalition meetings? Yes.

Will there be grant workshops for the mentoring grant applications? No. Why not? Because we can't afford it.  
Sorry.

Does the grant cover organizational development for newly forming coalition? That's a very broad question. You can use drug-free community funds to help you build the capacity of your organization, which I think is what this person is getting at with this question.

How can a new coalition demonstrate its members have worked together. That's an eligibility requirement question. That's something that gets determined by the peer reviewers as

something you have to address and the answers you provide to narrative sections A through E.

How current should the data, for example, the youth risk survey, be, if it's only done every five years. Would we be allowed to conduct our own survey on a smaller scale? Absolutely. You would be permitted to conduct a smaller survey in your own scale, and I think you addressed much of that Mike when you talked about Section A, assessment. If all that's sitting out there is some older data, you probably want to go out and you want to do some other things to collect the pulse of the community.

Go ahead. Do you have some ready?

**Jack Claypool:**

I do. It says, can the programs that are developed by the coalition and conducted by coalition members be funded through the DFC grant, and if not by the DFC grant, where can the funds come from. Remember the concept here, and I'm not sure what you're asking specifically about programs. If you have a specific question, grab one of us. The concept behind DFC is we are funding bringing your community together, raising community awareness, and looking at community wide strategies. The reason

we ask you for a dollar-for-dollar match is if in identifying your challenges in your community, one of the things you may be missing is, for example, an after-school program and you decide that's a great strategy -- that's where we're expecting to see your match and your in-kind coming from, that you get your coalition partner to do that. The reason behind that, and we've said this several times, is we don't want that service infrastructure to leave when this money is finished. The design, here, is we create sustainability through DFC that lasts beyond our funding, that we don't want that infrastructure to collapse at the end of five years. So, be looking at ways that you actually fund those in in-kind match through your community partners.

Another question, if you applied last year and did not receive a grant, is that a blemish, or is 2000 not affected in any way? Your peer reviewers aren't even going to know that. Remember, your peer reviewers are independently scored. They don't know when you've been in or been out or applied or not applied, so, it in no way impacts your application this year.

From a historic perspective, what has been the minimum points scored to be considered for a grant application and approval of a grant award. It's wholly dependent on how much money is

available. Last year, we spent a little over \$10 million dollars, and we funded everybody from an 83 up. There are a few folks in the 82-tie level. Seven out of the 24 that scored an 82. So, this year, with 60 applications, chances are that score is going to be a little higher, but it is wholly dependent on number of folks coming in. If nobody scored 90s and 80s and our top score is at a 70 down, then that's a whole different concept. So it's really hard for us to say here's what your score level is. We're really looking for you to be focused and be able to pull the best application that you can. Also, one of the other questions related to follow-up and TA, I don't know if -- Eduardo is still here. I think Jane is still here. That's part of the role of the coalition institute. If, for example, you don't get funded or looking for better ways to help build that coalition through the year, they have a technical assistance line. It's their 800-number, extension 240. Is that correct, for the technical assistance line at the national coalition institute, which is 1-800-54-CADCA. Is that right? Do I get paid for giving you that good of a program. No. That's right. That would be an ethics violation.

And also I had kind of a neat one here, for just a second -- yes.



[question from audience - inaudible]

**Jack Claypool:**

When I said bringing the community together -- what we're looking for the grant funds to do is organize, inform, and mobilize your community and looking at broad-based environmental changes. And you heard both Jane and Eduardo talking about what constitutes environmental change. We want specific support for that change to be part of your in-kind effort so that way, the federal funding gets folks in, gets them motivated, gets them focused and directed and let's you write the plan. But that way, if you come out after five years or even after 10 years, that all of the great things that you're doing in your community, whether it's compliance checks or whether it's going in after the law enforcement does a drug grade in a drug-identified area, that you're going in with a public health response to get the folks who now can't access drugs to get them into treatment -- whatever those strategies are, we want you funding those with local dollars so that they continue, regardless of whether or not you're a DFC grantee. OK. That's the design behind here. Greg White from Kingsport. Greg, you still in the room? Raise your hand if you are. Great. Greg's over here. Greg, I understand you've got a young lady with you who actually was homecoming queen and helped put together a

student drug-testing petition. You know, guys, it's kind of tough for us to sit around all day and endure grant workshops, but it's really neat when we have one of the folks that we're programming and trying to identify and hold up. So, Greg, if you don't mind, just a quick introduction of your counterpart.

[response from Greg - inaudible]

[applause]

**Jack Claypool:**

That's a great story. Thank you for what you do. Guys, that's what DFC is about. We want to see folks saying, there's a problem and I want to do something about it. That's exactly what we're talking about when we talk about changing a community, and to have young people leading it -- young lady, we're real proud of you. Way to go.

Any other questions, or if not, we'll do the lunch break now and we'll do some more questions when we first come back from lunch?

**Ken Shapiro:**

What time is it?

**Jack Claypool:**

We are at about 2 minutes to 12.

**Ken Shapiro:**

We can answer three more.

**Jack Claypool:**

OK. Three more and then we'll give you some lunch instructions.

**Ken Shapiro:**

Just so ya'll know, we're getting quite a few questions from you that we know we're going to answer later. So, if you've asked a question and it's not getting answered, it's because we know we're going to address it in the normal course of the agenda here. So let me just answer three more and then we're going to break for lunch.

If a coalition has been working together for over a year but members have not signed formal agreements, is that coalition still competitive? You'd be competitive if you'd go out and get the MOU signed in time to submit your application.

For clarification, we live in a city where one, college binge-drinking is an issue --

**Jack Claypool:**

I've already answered that.

**Ken Shapiro:**

-- never mind. I think I may have --

**Jack Claypool:**

That's already answered.

**Ken Shapiro:**

OK. In that case, before you stand up and put your coats on and walk outside in the cold, our meeting planner convinced the convention center to open up the food court here, so that is an option for you. It's over by Hall D. If you were here all week, it was where the exhibit hall was. Otherwise, go brave the cold. There's a lot of good food in the neighborhood. And we will see you at 1:15, sharp.

**END OF AUDIO FILE TWO**

## Responding To The Request For Application, Section C

### Q&A

**Ken Shapiro:**

All right. The moment everyone has been waiting for, Section C.

**Mike Kasinsky:**

OK. Section C. OK. Just as we said that the strategic prevention framework, that each element of the framework builds upon an earlier element, so does your narrative. So does your narrative. And this particular section, it is absolutely the case. And, as a matter of fact, it even points that out, this issue about the internal consistency of what you've written earlier in your narrative, in Sections A & B are now going to be brought to bear.

Now, I would pay real close attention to the words, you muse provide evidence -- if we could turn to page 15 -- page 15 of your RFA -- page 15 -- now that language is very clear and very specific. You must provide evidence. If I say I can do heart surgery, again, back to an earlier comment of mine -- you can't just say, well yeah, I can do that. Just trust me. Just trust me. What evidence do you have that you'll address goal number one, with regard to collaboration of the sectors in your

community, and goal number two, that you will have the capacity to reduce substance abuse over time and over time among adults by addressing factors in a community that increase the risk of substance abuse? And promote factors that minimize the risk of substance abuse.

Now, I want you to look very closely, again, at the attachment six when you're addressing these areas. Now, that first few -- if we could go that next slide -- next slide -- next slide -- great. OK. Based upon your coalition's vision and mission, outlining your five-year strategic plan, and before that, describe your coalition's vision and mission. But you'll note that it says, based on the problems you identify in Section A, based on the problems you identify in Section A, so you can't come up with a strategic plan that is out of sync with material that you already prepared for the reviewer. Because he or she will say, this is out of whack. The two things don't make sense.

In this last issue, how was your community -- how, how -- key verb -- not very -- how was your community involved in developing the strategic plan? Now, remember our discussion about cultural competence. That should provide you with an opportunity to be able to talk about that in a comprehensive

way. How was your -- you can't just say again, using the example, that Ken mentioned about grant writers. He hates grant writers. Professional grant writers. You can't just say, well, we've hired a grant writer and, you know, they prepared the entire strategic plan and we didn't really consult with them. Of course not. So this would provide you with an opportunity to talk about how any number of things that were down, you held a retreat or whatever it was, so that you allowed input into the development of your strategic plan because, what do you want -- at this point, you want buy-in. You want buy-in from your sectors so that they'll see it as their own, not the professional grant writers, or not someone working in, you know, in a vacuum. So this is an absolutely key element. It has to address all the issues raised here in goals one and two -- collaboration and goal two about substance abuse. It has to address the vision and mission of your coalition and in terms of objectives, note the word priority objective. Priority. What are the priority objectives? And that's also an opportunity for a discussion about community buy-in and cultural competence as well. So both of those questions, two and three, offer an opportunity to you to talk about that. Just the prioritization process, how that was arrived at. You're going to have to talk about. OK.

Section D. Section D, you'll note now -- again, I want you to pay attention to the points on this thing. Now we moved it up a notch. It went from 16, section C being 16 points, five-year strategic plan -- to Section D, which represents the first year of your grant, what we call the one-year action plan. The one-year action plan.

Now, here, the hurdle that you will have to deal with will be the logic model. Now, we've provided you with an example of a logic model but what we don't want to see is 325 logic models that all look awfully similar to the one that we've provided you as an example. Please. Please. Don't shoot yourself in the foot. Like I said, peer reviewers are tough. And they're going to see that right off.

So that's something you really need to give some thought to because it's a key element of your whole first year in terms of the thinking that went into what it is you want to do.

And our friends, our colleagues from CADCA, I believe it's the evaluation primer -- offer some advice in terms of your -- if you're completely unfamiliar with the concept of logic model, there's a resource there and I also know that the Kellogg



Foundation also has published a manual on logic model development as well. So, OK.

Now, why don't we look at item two here. If we could look at page 16. Question two there asks us -- oh, I just wanted to also note that there will be times when the question, whatever it is -- this is why I want you to reference back to attachment six. It might appear to be one question, but there will be an and, so it's really multiple questions in the same question. And that's why I said, very first thing, when we began our conversation, sweat all of the details. If it asks one -- the first part of the sentence will be one issue and then it will say, and such-and-such. You want to pay attention to that because that material that you'll provide will have to answer both.

So, in this case, you'll note that describe what community-level changes you expect to come from your activities this year. OK. And then please include in your answer any strategies to create environmental change. So, there are multiple things that you'll need to provide narrative here, not just -- it may appear to be just one, but you've got to answer all of this and check to see that you've answered it -- and again, piece of advice, it's preferable that you give this RFA to someone else who's not read

your material, who has not read your material so that they can check your work against what's published and to see if you answered, in cases where there are multiple issues being raised in one question that you've covered all of that material.

So the bottom line -- this is an absolute key element of your narrative. I mean, even if you weren't going for money, weren't going for funding, this would be an absolute key element of your work for the next year. Lays out your plan.

OK. Evaluation. There's just some material here I'll let you sort of read that on your own. Some examples of logic models. Some advice about logic models. And you'll have to, if you're not familiar with logic models, you're going to have to do a quick read in order to provide one that makes sense and covers all of the individual aspects that we're requiring in your action plan.

Now, just as evaluation is a critical element of the strategic prevention framework, so it is -- note, that it's worth 20 points here. Again, cultural competency is raised. Now, that first question there, if we can move to page 17.

Now, there are words like "evidence." It's included in this section should be evidence of your plan to insure the necessary data, because this is key because it's required. I mean, if you are to be successful, this is going to be written into your notice of grant award that you obtain these four core measures. So, we want to know, very early on, how will you meet this grant requirement? How will you meet this grant requirement? Are you going to -- do you have a good relationship with your school superintendent and principals and they're already on as one of the 12 sectors and this has all been sort of worked out with them in advance. You've shown them what the core measures are, et cetera -- and very easily, you'll be able to say that in your narrative.

Now, if you've not done any of that legwork and this is uncertain ground, then, you know, between now and April 17, in order to answer this question successfully, you're going to have to do some legwork. So --

With regard to this, the CTC survey, is already on the SAMSHA Web site. The CTC survey, by the way, does cover all four core measures, but you don't have to use that. We would like to know which instruments that you are intending to use. Now, just as I said everything has to be internally consistent, this next

question raises -- based upon your strategic plan, which you've already written about, how will you track progress over time and make adjustments as needed information contained in the data you collect? How will you use your findings in the evaluation tool to improve your project throughout the project period? What is your plan to use information in the evaluation to inform, engage, recruit the target population and community members? Now, that question to me, if I were answering it, would offer me a lot of opportunity to talk about cultural competence. A lot - there's a whole book written on cultural competent evaluation models. How do you explain things to people? How do you bring them to the table to interpret? Because different groups are going to interpret findings, obviously, differently.

Now, with regard to a process evaluation, not just the measurement of the four core measures, but a process evaluation of how it is that your coalition functions, for example. Your operations and administration. Again, you're going to have to think about developing some process measures.

And then lastly, describe how your coalition has created partnerships in order to collect, analyze and report data and conduct evaluation activities. Describe how your coalition has created partnerships in order to collect, analyze and report

data and conduct evaluation activities, whether those partnerships are with a local community college or university or with the state drug and alcohol agency or in some states, the department of education -- how was it that you were able to meet that requirement of creating partnerships to access -- or with schools? School surveys. Let -- not this question be a roadblock. Some will say this is a roadblock, Mike. I can't answer this question because the school superintendent doesn't allow school surveys. Schools are just closed. They're not going to allow us to do school surveys, so I'm going to have to answer -- don't let any obstacle go unanswered in any narrative. If there is a problem, when you write to a problem, you've got to provide the solution. You can't just identify a problem in a proposal and leave it at that because that will appear that you've not given it enough thought, that it's going to have to -- number one, it's a grant requirement, so that already puts you at a disadvantage. So anytime you lay out a problem, you have to come up with at least a tentative solution to overcoming the problem.

So again, this particular section offers a lot of opportunity, because we're asking not just for an academic evaluation but for the community to be involved in the whole process of even planning the evaluation, discussing the results of the

evaluation, et cetera -- that cultural competence could be integrated into many of these answers to these questions.

Now, in this last section, as we said earlier, the budget, it's worth 10 points -- however, you do not need to provide a narrative response to this section. It does provide the opportunity for reviewers to examine your budget to determine whether or not that your -- that your -- they say follow the money, right. Follow the money. That the budget that you've allocated for your project is really about environmental strategies. It really -- so there are three questions that the reviewers will have to think about.

But I want you -- even though you don't have to provide a narrative response, I want you to give serious thought when you're putting together your budget to those questions that we've laid out for you here. You know, we had an excellent discussion from Barbara about the distinction between a coalition and a program. Well, this is your opportunity to put the rubber to the road in the budget section with regard to that. So --

**Barbara:**

Mike, here's a question for you.

**Mike Kasinsky:**

OK.

**Barbara:**

We're doing some questions?

**Mike Kasinsky:**

You want to go to questions?

**Barbara:**

How about -- can I just do one thing?

**Ken Shapiro:**

Sure.

**Barbara:**

During lunch a couple of people needed, wanted, to connect with some of the SAMSHA staff, so Peggy, can I get you to stand up? This is Peggy Quig and I'm going to match you with the lady over here in the white. I'm sorry. I don't remember your name. So you two need to match up. And then Linda Bass is here and then the gentleman from Connecticut can meet up. Anybody else? I'm a great matchmaker.

Cultural competence sheets? Who does not have those? OK. Ken says he needs a girlfriend so if anybody is available. He makes good money.

[laughter]

**Barbara:**

I guess he has a really nice apartment. But ladies, he rides a bicycle, so I don't think he rides a car. He's taller than I am so that works. What else would you like? And he might shave his beard off if that's a problem.

[laughter]

I'm just teasing. You're the one who brought it up.

**Ken Shapiro:**

I was teasing.

**Barbara:**

I know you were teasing and I'm just teasing back.

**Ken Shapiro:**

I got it. It was good. So do you have one?



All right. Folks are wandering around and grabbing cards, but we're going to be a little ahead of schedule. I think we'll do a few questions and answers here and then I'll take you through the Supporting Documentation, which is really straightforward stuff. It's really more for the folks who grab the presentation online or when you sit down to do this work, so you have this information in front of you. So I'll kind of rifle through those, and that will get us a little ahead of schedule I think. And rather than giving you a break, right after we came back from lunch, we'll have Barbara get started.

#### **Q&A**

##### **Ken Shapiro:**

Many of the questions you've been asking, like I said -- Barbara's got a stack of questions that relate to her stuff. So we'll let Barbara get started a little early, and we'll figure out a time when people look like they're falling asleep, which I really doubt Barbara, and then we'll give them a break during Barbara's presentation.

So, here do we go. Can a school district be the fiscal agent for my coalition? As long as they're willing.

What if your coalition only has a mission statement or only a vision statement? The requirement is that you have a mission statement and that part of that -- the principal part of that mission is the reduction of substance abuse among youth.

Do charts go in the narrative section or as appendix? Example, the implementation chart, the logic model, the sector chart. Through the narrative, we asked for you -- we gave you an example of a chart you might want to include in implementation, and that would go inside the narrative and would count against your 22-page limit. That also counts for the logic model as well. That's the reason last year we had a 20-page limit. We upped it two pages because we're asking you to put those things or embed them in the narrative section. The sector chart, which is part of requirements, is part of your supporting documentation and part of Section G, which does not count against your narrative.

Regarding the reporting requirement on the four core measures, can we administer a survey to other groups, such as youth groups, rather than the school system? Yes, you may. Again, as long as you are able to collect and report data that's reflective of the community.

All right. Do the majority of grant applications include each question followed by the answer, or just in paragraph form, restating the question and answer? We try to be very specific about this. We want you to write the question exactly as we have it, and I think Mike covered this as well -- exactly as we have it written in the requests for applications. Probably want to make it bold or something. And then put your answer. So it will be question, one paragraph, two paragraphs, three paragraphs -- however you want to allocate space -- and then you put the next question and then you put the answer. And then you put the next question and then you put the answer. That -- we're doing that because it really improves the peer review process immensely.

This may be petty, but in the narrative it says that there is a page limit. Can it be less? Yes.

Does it help to include a chart for the [Gifford?] data? And the answer is: you should present the information in the way that you think is most useful.

If you use charts, do they count in the total page numbers allowed? Again, yes, it does. If you include that in your narrative portion, it will count against your page limit.

I'm reading this and I'm realizing I don't -- I'll have to check the answer.

Should a separate logic model be submitted for each substance being targeted -- i.e., too many kids are smoking cigarettes, too many kids are drinking, and too many kids are smoking marijuana? You do not need to provide a separate logic model for each substance that you're targeting. It's your choice how you want to create your logic model.

May we use the strategies already developed by a coalition, or must we describe a new process? For example we had -- they're saying they have old grants and they did other things, and there's no reason why we would want you to abandon or throw away good, meaningful strategies that are responsive to the goals and the requests for applications for this program. So, no. Absolutely not.

We have a couple more.

**Barbara:**

Can I -- can I --

**Ken Shapiro:**

Please.

**Barbara:**

I just want to slide in for a second because we've gotten about four or five regarding the section called budget narrative. The questions that are listed in Section F there are ones that you do not have to provide a written response to. Like, you don't have to write the question and then an answer to that. The budget narrative section that we're referring to in another -- in the sample budget, that's the spelling out where you list here's what we have -- and I'm going to go over this. It's real exciting stuff to go over. And explain, you know, what we're looking for in that. And so we've used a word in two different ways here that has some confusion with it. It's one of these things where you read it over and over and you know what it says and what it's supposed to say. Now, we'll mark it for next year and make sure that when we go to the other places we'll explain. So you don't have to write an answer to those questions under Section F. We are going to go over how to set up a budget narrative thing that will allow the grants management division to take a look at it and to see how your costs are laid out and whether they're reasonable. Things like that. So I think I answered about four of those with that one.

**Ken Shapiro:**

And the one in my hand.

**Barbara:**

And the one in his hand. So, if there are more questions on that, as I'm going through my section on setting up your budget and stuff, just give me a card and we'll try to make sure we get those.

When you write your grant, do you write for a one-year plan and budget or do you include a plan and budget for five years. Yes, you do both. Your first-year plan and your first-year budget is going to be very specific and laid out. But you're going to need to identify some of the things you're going to need to do for the next five years because this is a five-year program. You're going to be asked to do that. Your subsequent years, if you're awarded, each subsequent year you'll be asked to provide an additional in-depth budget and plan for that upcoming year, so we all should be building upon each other for the five years.

Can we hedge our bets by applying for both the mentoring grant as well as the DFC grant. If we think our application may not be approved for the full DFC grant. You may apply for both.

There are some very specific eligibility requirements for the mentoring grant. Which you have to be a five year -- a coalition for five years. You have to meet some things. But the major one is, in order to receive a mentoring grant, you must be a current DFC grant. Now that -- wait. That doesn't throw you out. That doesn't mean that you have to have a DFC grant this year. If you're applying as a new grantee for a DFC grant, this drug-free grant, you're awarded that and you meet the other eligibility requirements for your mentoring grant, then you may also get that one if your scores come out to where they're supposed to be. You know, that cut-off point that Jack and everyone else has talked about with that. So you can apply for both, even if you have never had a DFC grant. But if you are not awarded a DFC Grant for what we're calling Fiscal Year 2007, then you will not be able to have a mentoring grant also. Is that clear as mud? OK.

Can you request a copy of a funded grant? That has to be done through the Freedom of Information Act, and you'd have to request a FOIA in order to get one of those.

**Ken Shapiro:**

And we deny that request.

**Barbara:**

OK. He's telling me, they deny that request. This is one. If you want to find a grant, somebody that's near you that has one that's funded, you might get a hold of them. But remember, even someone that's in a town next to you, the county next to you, is going to have some different needs than your community is. So you want to make sure that this is based on what the needs in your community are, not what someone else looked good or what worked in that community. It may not work in theirs. And they all introduced -- I actually was the coalition builder, not around drugs and saving kids from drugs, but even worse, getting people to wear seatbelts. You want to try to sell something that's really hard to do, and that's to convince the people they need to wear a seatbelt all the time and build a coalition around that. That gets a little more difficult. But what worked in my community in West Virginia did not work in Hagerstown, which is simply 20 minutes from me. We had to do different things to do different stuff.

Oh. Yeah. Thank you. Someone pointed out that we have a misspelling in one of our slides. We try really hard, so if you see some others, please let us know and we'll be glad to take care of that. Can the project director position be filled by the coalition coordinators? Can it be two titles in one person?



If that's what your community -- if that works for your community and your group, you can do it that way. We're really open. It's based on what you need and your justification of those different needs for different positions that you might have with this grant.

Anything else?

**Ken Shapiro:**

All right, this question is -- as part of the five-year plan, if the community wasn't as involved as we would like, is it OK to put this as part of the first-year plan to do specific work on engaging the community on the planning process, being more culturally appropriate in developing the plan? Yeah, absolutely. This, I think, is specific to the first goal of the program, which is increasing collaboration in the community. So this seems like an appropriate thing for you to work on as an objective for this grant program.

**Barbara:**

I can go with these.

**Ken Shapiro:**

Do you want to keep going, or would you rather start your presentation?

**Barbara:**

I can do these. This question I just got handed by Roberta -- remember, we said that some of them, if they're real specific and individualized, then you need to check with them. So Ken, I'll let you answer that one, because I don't know the answer to that one.

We have some real specific questions dealing with -- it has to do with how old Ken is -- have been specific -- I figured I'd better let somebody know what it is -- we've had some real specific questions dealing with fiscal agents and who can be a fiscal agent who can serve as different ones. If you look at page seven, of the RFA, it has a listing there of who the entities can be. For the purposes of the rest of -- does it not --

**Ken Shapiro:**

Do you want to read it or just let them. It's up to you.

**Barbara:**

You guys can read that.

**Ken Shapiro:**

OK.

**Barbara:**

You guys can read that? 1.1. It lists out that basically, if you are a legal entity, you are allowed to apply for this one. We are going to use, for the rest of this presentation and when I get into it, the term fiscal agent to be the applying agency who is applying to be the grantee. And they're assuming the fiscal and business management program for this. And I'm going to go a little bit more into that when we're talking.

Specifically, we had some around can a school district serve as that? Yes. School districts meet those requirements. As long as the money simply isn't passed through to another group. Can a university serve? Yes, a university can serve that. They need to do that and they pointed out on this card one very specific thing about setting up a MOU if they're going to represent the coalition -- we urge you to really consider formalizing this and I am going to repeat that as I go through my presentation. If the coalition is not the grantee or the fiscal agent, then we really would like -- really urge you to

develop some kind of formal plan between the two groups to do that.

The fiscal year is not July to June. In fact, it's not even October 1 to September 30. The year, for this grant is September 30 to September 29. It does cause a little -- it has to do with how money is appropriated for this out of Congress that we have these different timeframes.

You can -- I had questions about indirect costs. You can allocate indirect cost to this. You need to have an indirect-cost rate agreement. You can go on, for those of you who aren't familiar, indirect costs are those costs that you cannot directly apply to a specific program. Oftentimes it's bookkeeping. A large organization has a variety of administrative pieces, and you can't just say so much of this times allocated toward this amount, this amount, this program, this program. They have what's called an indirect cost with that.

Your \$100,000 limit must be both your direct and indirect costs. If you have funds left over at the end of the year can you carry them over? Yes. There is a process for doing that. It does not automatically roll over. You have to apply to use those

funds. We want you to -- when you write your budget and set it up with your plan, it should be set up to be the amount of money that you'd need to accomplish the goals and objectives of your program. No more; no less. That's what you should be applying for. But we understand things happen during the timeframe. You may have some money leftover. You can roll it over. You submit -- there's a whole process for doing that, but you can go ahead and ask that it be used to supplement the budget year that you are in. You will have to have the match for that, as you are required to have that.

It is -- is it negative not to ask for the full \$100,000? No. You can ask -- you have to ask for the amount that you need, not to be over that \$100,000.

How's your money distributed if an award is made? It's distributed through a section called the Division of Payment Management. If you will -- it's [www.dpm.psc.gov](http://www.dpm.psc.gov). You basically set up a bank account with them. It's done through direct deposit. It's a reimbursement grant. You cannot hold your funds for more than three days in any account, but you would go online. It's an online system. You'd go in there, fill it in with what you need, and then it will be transferred to you. On the drug-free community's Web site, there is a web-based

training on how to access these funds. That's available to anybody that wants to take a look. So if you wanted to kind of get an idea of what would be in store if an award is made, you can go there and check that out and see what is going on with it.

We are going to summarize at the end, and I think a couple of the other ones that I have around budget will be answered when I do the budget section here.

**Ken Shapiro:**

OK. Regarding the grantees of a mentoring grant, how can an unfunded coalition benefit from this relationship? Just so people understand what we're talking about when we say mentoring grants, there's a separate sort of different sort of grant that we give through the Drug Free Communities program to existing grantees, as Barbara said, to mentor other communities in building community coalitions that look and act like you as a mature, funded drug-free community coalition. If you're an unfunded coalition and you think that you'd rather benefit with a mentee relationship with a mentor-grantee, you would want to approach an existing drug-free community grantee, or somebody who is applying for a mentor grant, and tell them that you'd like to be mentored by them. And they would apply for a grant.

And they would propose to serve you or to mentor you to help you to build up to be just like them.

I'm going to use another agency as my fiscal agent, are there written guidelines, procedures, forms available for this so I don't have to reinvent the wheel? I need to pass on some guidelines to that fiscal agent. Barbara, I didn't mean to read that without asking you --

**Barbara:**

Let me -- to give you an initial piece to start -- we have to keep doing this. If you will go on to the SAMSHA Web site under grants, I'm trying to think if it's under grants management -- but there will be a section in there that has some terms -- it will say general terms and things of different things. It will give you a definition of what a grantee is. It will explain what some of the others are. That might be a good starting point for it. We don't have any real specific guidelines set up. We've bounced it back and forth of should we get something set up with that, but it's really going to be an individualized piece between the coalition and whoever serves as the fiscal agent as to what roles they're going to play, who's going to be responsible for which different pieces. Obviously, your fiscal agent is going to be handling the financial end of that, but

then who's going to do the reporting. This is something that you will need to work out. I mean, to sit down and think -- and it's not something that you sit down and go, oh, let's do this today. It's something you really need to think about and get some ideas on because it depends on what you're saying you're going to do, what role you want them as a coalition to play, what role they want you to play in order to meet the policies and procedures and the business aspects that they're bringing forth. So we kind of have some guides there under the grants one, but we don't have a whole lot real specific saying here's what you should do as a fiscal agent and here's what you should do as a coalition. OK?

#### **Supporting Documentation, Sections G through L**

##### **Ken Shapiro:**

All right. We're going to whip through supporting documentation sections G through L. There is Section G, which is your documentation for eligibility requirements which are laid out in, I believe, section three of the RFA. That's the table we put early on in the RFA. All those items, and then we show you how to document those. Your budget justification is Section H. Your resumes and job descriptions in I. Program abstract as J.



General applicant information for K and Section L is demographics.

So I'll go through these one by one. In Section G, you have a statement where you say that you're a legally eligible entity. You provide us with your mission statement, two sets of meeting minutes, your MOUs, the evidence of the 12 sectors, an organizational chart of the coalition. Oftentimes, we will get an organizational chart for the fiscal agent and not the coalition. We want an organizational chart for the community coalition. A brief history of the coalition. And this is a mistake, I think, and we'll have to correct this when we post this to the web, so if you would cross that out -- budget. Budget justification doesn't belong as a bullet there. That's an accident on our part and I apologize.

Section H. Your budget justification, existing resources and other support. This is a -- where you do a narrative, and Barbara has spoken to this quite a bit as she will a little bit more. This is a narrative justification for the items included in the budget. This is the place where you talk about the money you're going to spend and the in-kind resources that you have. While we don't ask you to do a direct response to the questions we're asking the reviewers on the budget, they're going to look

at this stuff when they answer those questions for themselves, those 10 points in Section F.

Section I we're asking for a resume, no more than two pages for the project director and other key positions. If you haven't hired that person, we want to see a position description and/or a letter of commitment with a current resume from the individual. We do understand a lot of times when you go and write this grant, you are envisioning a position that isn't filled or doesn't even exist yet. But we want you to think through and create the description of that position if it's not filled yet so we can see that. And so the reviewers can see it as well.

We ask you to submit a program abstract. You want to spell-check that. If you're successful, we'll send that in a letter to your Congressman and your Senators. They'll use that in press releases, that kind of material, so you want to be sure you spell check that.

Section K, and this is some general applicant information. This is so we can find you. And some of this is required either of all HHS grants or maybe all federal grants.

And lastly, we're asking for some demographics, very specifically the Congressional district served by the coalition so we can notify those members of Congress. This is really important. We need to have those zip codes of the target areas served by the coalition. That's absolutely vital. You need to tell us the geographic boundaries of the target areas served by the coalition, and again, we don't tell you the method by which you define that area. But you need to tell us the method by which you define that area and the total population.

You have to indicate whether it is primarily rural, suburban or urban, and we've given you definitions of those. Tell us whether or not you're serving a federally recognized tribal area. And tell us whether or not you serve an area that is economically disadvantaged. And again, we have an operational definition that we provide to you for that. How we doing on time?

**Barbara:**

Five after two.

**Ken Shapiro:**

Five after two. I'm going to make an executive decision that we just keep going. Why don't we take a break a little later if we need it.

**Barbara:**

Yeah. We can do that.

**Ken Shapiro:**

Can I do the PowerPoints or --

**Barbara:**

You can do the PowerPoint. I'm going to answer this one because it is something I've mentioned, and someone made a very good point that a MOU between your coalition and your fiscal agent is not binding. And that you may want to look at a contract. We bounce this around in our office around that. One of the reasons that we've mentioned MOUs and not necessarily formal contracts between the two groups is because of the process that a lot of fiscal agents have to have in order to do that. They have to bid them out. They have to advertise them. Or they have to go through the process of sourcing a contract. So it's going to really depend on the agent that you're dealing with as to what they're -- how you're going to be able to work this one out so that it benefits both parties to do that. And that's one

of the things with a contract that gets a little difficult sometimes in doing it. But it's a good point.

We're going to spend the rest of the afternoon, just the last pieces here, talking about those last little pieces of your application. And remember, Mike talked about looking -- crossing the Ts and dotting your Is, and if the application itself says to cross the I and dot the T, that we want to make sure we cover everything. Well, that's what we're going to be talking about right now. I really went through the thing and tried to say, now, budget.

**END OF AUDIO FILE THREE**

### **Supporting Documentation**

**Barbara:**

-- I'm looking forward to how I'm going to make this do it. Filling out forms. Woah. What fun we're going to have doing these different things. We are going to talk about the budget. It is a very, very important piece to it. Go ahead, Ken.

**Ken Shapiro:**

I'm sorry.

**Barbara:**

He waves to me but -- [laughter]

OK. I'm another partner in here with the Division of Grants Management. Division of Grants Management has the business and financial and administrative oversight of the grant programs that SAMSHA has. Otherwise, we're the money people. We tell you what you can and can't spend money on when we're doing this. Three -- we have a variety. We actually have a whole list that's -- it's two pages long of the different things we do in our division. I don't want you to think that this is all we do. We have a whole list of them.

But the three things that we're going to talk about today that affect this program that we will do -- we have our own review process up in the Division of Grants Management. The first thing we do is we review the budget. We look at it. We do a cost analysis on that. Is it reasonable, both in the amount of effort that you're using it for and actually for the amount of money that you asked to spend on any specific thing. We take a look -- are the costs allowable? There are certain costs that you cannot charge to any federal grant because you cannot spend federal money to lobby. So that's completely out. So we look

to make sure that it is. And then there are certain things -- can it be allocation? Can certain costs be allocated to this grant? The biggest one I can think of, it is an allowable cost and that's construction. Just to explain allocation for you. Some grants may allow you to do some construction. You cannot allocate funds for this grant to build anything. So, except your coalition. You can't build a building, but you can build your coalition with it in doing that.

The second piece that we do is we do the administrative review. We go through all of those forms that you send in, and we look at them to make sure that you have all of the numbers that are incorrect, all of the spaces filled out, and if you don't, you'll get a call. Hi. I need you to re-do this for me, please. We make sure that you send in the things that have to be signed and sent in because we don't accept electronic signatures at this time, so we make sure that those are signed and sent to us. And we make sure that we have all of the documentations to prove that you're a legal entity and to those. We have a whole process. We spend a lot of time reviewing those. We do this for all of SAMSHA grants, not just applications -- I'm sorry -- SAMSHA Applications that come in, not just for the drug-free ones that we have.

And the third piece that we do, we have another division. We have accountants that work on it, and they do a financial capability review of the applicants. And we want to tell you just a little bit about that so that if you do get some information and some requests for some things like that, that you're not like, woah, what's going on. That you have some things with -- some idea of what we're talking about.

In the budget, you'll see an attachment one. There is a sample budget. I want to point out on the sample budget that this is a sample. It is for the first five years of the program. If you are applying for Years six through 10, your budget may look a little different, especially in the match category. It's simply a sample there. It does not reflect an amount of money that we think is appropriate or the amount of time and effort that we believe is appropriate for someone to spend on it. As we've said over and over, that is for you all to decide.

Budget has three components. One is our budget narrative justification. That budget narrative -- you see where that form is? Well, it breaks it down. It gives a cost basis of what you're using your money for. If you want to buy 1,000 brochures at 50 cents a piece, then you're going to end up with \$500. You're going to tell me how much money, what you're buying and



setting it up. Then, on the bottom of it, you have a little space called justification, and you're going to actually spell out this matches for the Town Hall meetings that we have planned, we need to have this. We need to have this for this. We need to hire someone to do this and that and the other project for us. So we really try to tie it all together. This is where you need to make sure that you write them in because this is where that reviewer is going to look to see -- did these two match. Is it going to play with where we need to meet the goals and objectives that we have.

We then have a budget summary. That's where you take all your costs, and you go through personnel and other different ones, and we're going to talk a little bit about each one of those. And you say this is how much we're spending on each one of those in a ballpark figure. You come up with a total at the end of that. If you have indirect costs you want to do, remember that indirect costs and direct costs have to tie in together with it.

Then we have the calculation of future funding, and this is the one that's always -- everyone goes, man, I've got to think.

Yeah. We want your program to be successful, so we're asking you to give us an idea of how much money you're going to need for this project throughout the entire five-year timeframe. So

you're going to apply very specifically in year one. You're going to look at years -- and I'm going to use the first five years as my examples. You're going to look at two, three, four and five and give us a general idea of a budget for that. We're going to talk a little bit more.

And the last one again, reminder -- remember, the \$100,000, that includes both your total direct costs and your total indirect costs. That is the maximum amount of money you can apply for using the federal funds. No more. You apply for more, it goes out. You cannot have any more money in the one-year time frame with that.

I'm going to look a little bit at the budget categories. What I want to do is -- you guys -- for 10 years, if I didn't write the grant, I didn't work. And the state wanted -- they defined one thing one way and the private sector another and the feds one. So we kind of want to give you an idea here of what we're looking at and what we define these different pieces to be.

Under personnel, that should be anyone that is employed by the applying agency. If you have a lot of volunteers that work with you and your coalition members and they are not employed by that applying agency, then they would be listed under contract and

consultant. Not under employee. What we're going through here today on these and some of the forms are things that we see a lot that causes us to say hey, let's call. We need some changes on it. If we can get these for you guys to be a little less frustrating for you all -- plus, it will allow us all to meet that August deadline. Because I know what it is to call up the grantor and say, hey, did I get this. Do I come to work tomorrow, on September 30 for my October 1 start date. Not knowing. So we really want to make this go for you. That's why we're going over some of these things that may seem elementary in doing them with it. So we're going to look at personnel. It's going to be set up for those people that are employed by the applying agency. The amount of time and effort that you'll need on that one is going to depend on what your project says. We can't reiterate that enough. Your budget needs to reflect what your work plan is to make this a successful program. And so we want to make sure that it all works together and doing that. So if you need 14 people to make this work as employees, we may say, hmmm, it seems a little unreasonable, but, if you can provide a justification for it, we can take a look at that and say, OK, we'll see where we are.

When you are setting up the personnel for this one, the reasonableness under personnel needs to be what is reasonably

paid for someone in that position in your community. It's a little hard to come in and say we're going to pay -- and I'll use Martha, that's my sister -- so I'm using my family's names here. We're going to pay Martha \$85,000 to be the coordinator of this program in a community where the average income is \$22,000. This is a little -- seems maybe to be a little unreasonable here. And I'll tell you -- we do look at those because we can find that information through the census department. So we will take a look at some of those to see if that is -- so I'm telling you -- just because we'll pay for someone doesn't mean that you can go crazy with what you're asking to have and get paid for something. So get paid to pay someone.

If you are multi-source funded, in which we really want you to start looking at that -- you have to apply the same rates and the same salary to everybody. If you have an executive director that's paid out of three funding streams, you can't charge me \$50,000 and the state \$25,000. It's got to be the same salary across the board. You can't say yearly fee, you know, we're going to charge a percentage of time on this one and a certain number of hours on another grant. You have to use the same formula for calculating all of your different -- whether it's personnel or rent -- all of your different funding sources. You

have to use the same type of formula to decide how you're going to determine how much time and effort is being spent on this grant versus any other funding stream that you have. So we set those up.

Fringe benefits. We understand, you have to have fringe benefits in order to keep qualified and quality people, to bring them in. Fringe benefits is an allowable cost in this grant. You can do that. We usually look around 20 percent as being a reasonable amount. Sometimes, if it goes higher, provide us with a justification. And I will tell you that we do have some and it has to do with your healthcare costs. So we're not -- you're not limited to 20 percent. We just need -- if you start figuring it out and we're looking at it, it's a little bit higher -- you know, if it goes up to like 30, 40 percent, we need to know why. So spend just a little bit more time on that one instead of one sentence, this is what we pay -- explain healthcare costs. This is how we pay the entire -- just a little more explanation should do it that way. Whatever your benefit package is for whoever you would hire in any position, that is what you may use on this one. So, if you offer tuition assistance, as long as you offer it to any employee that you hire, then that may be put into this. So it's your fringe package or the applying agency's fringe package that we're

looking at, not just certain things that we say can and can't be allowed in doing those.

Travel, this is another large one. You noticed on your thing -- remember that you do have to send two people, two people, to a three-day meeting here in DC. If that is not put on your budget, guess what, hi, you have to re-do your whole budget because you are required to have these people. It holds up the whole process for everybody. That may not be something that kicks you out and says, jeez, we're not going to look at funding this one. But the long -- you know, it's just going to be a process and add to the timeframe and delay the time that we're able to process these awards and take a look at these different applications and set them up. So remember to put that in there.

You will follow the policies and procedures and accounting policies and procedures of the agency that is applying. If they pay a certain rate to go to a conference -- let's say they pay a certain -- coming to DC. I'll use the one I used to have. I worked for a city, a small city in West Virginia. They paid actual costs in coming. Yeah, it's real nice, isn't it. But guess what -- but there's a but in there in case you didn't figure this out. So they would pay actual costs. So, I would come down here to DC and I could go out and my dinner is \$45.

That would be not too unreasonable. And I might have a per diem -- I mean, I'd have my day of my breakfast, my lunch, my dinner coming out to \$55, \$65. They'd do that. Guess what, they will actually only reimburse actual to the federal rate. So even though my policy said I could have more money, because it was funded through a federal grant, I could only claim what the federal per diem rate was. Now, if my city chose to pay the rest of that fee, then I could get it back from them. But it would have to come from the city coffers. Not from this grant program. So what we're just saying is follow them -- if the policies and procedures say that you can have a rate that's higher than your federal rate, you can only charge this grant the maximum federal rate. You may go on the GSA and that is Government Services Administration -- I've only been with the government for three years and it's so easy to fall into the GSA, you know, all of the little acronyms, then not remember what they stand for in doing that. Government Services Administration, they have actually just sitting on their Web site, you go to their home page, they have actually a per diem rate. It will pull down clear across the US. There's also another downside. If the policy and procedures that your agency has pays lower than the federal rate, you may only claim what they pay. I urge you all to take a look at this. This has been one thing that's caused some problems. Well, not problems, but

some question in people. They've gone in and they've got an agent that says come to DC. They paid her hotel rate, \$50 a night. Folks, you're not getting a hotel in DC for \$50, but they had across the board, hotel rates are \$50 a night. They didn't check this out before they made up these -- before they went to work with them and this is what they got stuck with. So, some of you might want to take a look at some of these. We cannot -- that's all they could claim on this grant was the \$50 a night. They called and asked me. I had to tell them no, I'm sorry. That's all you can claim. Whatever that rate is that they have. So you want to check on that.

You also want to check the POV rates. We do allow for POV rates. And doing that again up to what the federal rate is again.

**[audience member]:**

What does POV mean?

**Barbara:**

Privately owned vehicle. That's your car to go back and forth to whatever meetings that you need to go to. If you do not have a vehicle available through the agency. Yes ma'am?



**[audience member]:**

What's the Web site for the GSA?

**Barbara:**

It's [www.gsa.gov](http://www.gsa.gov).

Equipment. Equipment, the federal definition of equipment is any piece of -- any single item that's usually \$5,000 or more and has a useful life span over a one-year time period. If you get equipment using this grant, we probably will take a quick, a really hard look at that in your budget about it being reasonable. Is it more reasonable to do it. The biggest one that I've seen are copy machines. Someone -- they're looking at copy machines. Is that a reasonable -- is that a good choice of spending this money? Five to 10 percent of your money on a copy machine, when you're supposed to be building your coalition, getting your community change done. I'm not so sure that that's a reasonable use of your money. And so that -- you'll get questions. And I can guarantee you, if it comes to me, you will get questions about it because I've had it. I'll want to know why it's better for you to buy rather than lease. How is it cheaper for you to buy rather than send it out to be done with, you know, another agency to do this. Are you running that many copies of stuff that it -- to me, it would be cheaper almost to

print it. So there's a lot of questions around it and I use that copy machine because that's one that we get a lot of questions regarding around it. So we would take a look at it.

Supplies are normally those items that cost less than \$5,000 and have, a lot of times, a one-time use. General office supplies, pencils, pens, those things. For you to use. For your staff to use. Not as an incentive but something that you would use in the office. That's what those are for in setting that up. Now we run into this one, computers for your staff. A lot of agencies consider computers equipment. If your agency considers a computer equipment, then you put it under equipment. If it considers -- because of the term of that, we often have it under supplies and you'll see a computer in your -- that's because of the costs under that timeframe. It's an or thing. An and/or thing. So it doesn't really matter where it's setting there. If you ask, if you do need computers to hire, to bring someone in, and you need to do that, this is an allowable expense. But, we need to do know a little bit more justification why you, as the agent, don't already have computers set up. I mean, this is not like -- this is something that most people have are computers. So we'd want to know why the agency doesn't have one set up for someone, especially if they're not hiring someone new

to fill a position. Why are they going to need another new one for right now in doing that.

Contractual. A contract is a formal agreement between two entities. Usually, for them to produce something for you. It's going to, sometimes depending again on the agency, whether you have to bid it out. It just depends on the size of the contract. Setting it up, you have to follow the accounting policies and procedures that the agency has in order to design that contract. But it is a very formal agreement. It has a scope of work. It tells, sometimes, benchmarks. You will only pay it if certain things are done. It may be set up as a long-term one, where you set it up to split it up, but this is a real formal process between the two groups in order to produce an end product. Contracts are allowed. They need to be reasonable. They need to look the most -- the most common contract we get in this program is for an evaluator. Do not put 50 percent of your grant into an evaluation contract, because guess what, it won't be approved. I can tell you straight out. It won't. It needs to be a reasonable expense and 50 percent of your contract into an evaluation is not reasonable. So we need to take a look at that in setting it up. So you need to make sure that whatever you're asking for in a contract is a reasonable expense that you have with that. It is something that reflects that you need to

have but for some reason you can't provide it with staff. It is something that the staff can't produce. Whether it's a timeframe -- whatever it is -- but explain why the staff can't do that.

This differs somewhat from a consultant. A consultant, again, probably would have a contract. If you don't -- you should have a contract with a consultant. But usually a consultant is a person or a firm that has an expertise in a field that your own staff don't have. They're not necessarily producing a report or a some kind of -- doing some kind of program for you, providing some kind of service for you other than giving you some training advice on how to do something. They both go in the same cost category, consultant, contracting -- but there is, in the SAMSHA budget pieces, there are some breakdowns with that, in doing that. We do not have a limit-rate per day for consultant. Again, it has to be reasonable for your community. Much over \$200 a day would be questioned as to why you need it. So, if it goes higher, you know, we need to know -- \$150, \$200 we can look at -- anything higher, provide again, justification for it. You're going to provide justification for how it ties in, but give us a little explanation sometimes when they have it.

As I said before, construction is not allowed. Don't even put it in. You can't build a house. I have been asked that. I have been asked, can we use the money to build a house? No, you can't do that.

The "other cost" category, guess what goes in there. Anything that doesn't fit in those others. Anything that doesn't quite fit in this other piece up here of personnel, fringe and travel, you put in the "other costs" category. This might be your incentives, rent, what are some of the other things that have gone under there. Rent. Look at your sample budget. It will tell you some of these other things that we're looking at under there. For those, when you put it in other, we want a cross-breakdown, especially if you're talking about rent. Cost-per-square-foot. Remember that if you have more than one funding stream, and you're doing -- you're charging rent to several different locations, it's not under an indirect one, you must have a plan of how you came about and figured this out. So, if you get audited by the office of the inspector general, you can say, this is how we figured it out. You can do it either by a full-time equivalence or you can do it by square footage. Who's in what office. Things like that. But you must have a consistent plan across the thing. So it's not just something that you can just willy-nilly just throw in there and do it.

And then I did put indirect costs -- I want to spend just a little more time on indirect costs -- but indirect costs is a piece of all of this budget. And that's for something that you might look -- some of you may have indirect cost rate agreements.

OK. Take a look at this. We'll go through with the next ones - - and I'll get these. I'll get to them in doing that. I was looking to see if they tied-in -- looking to see if I did something wrong here and I was going to answer the question. OK.

Acceptable percentage for the evaluation? That's kind of a tough one. You have to figure out what's going to work for you. How much do you need doing that. But normally, we look at 15-20 percent. Anything over that we begin to say, hmm, what's going on. Why are we having more money involved into that particular event in itself because that's 20 -- we're talking \$20,000. That's 20 percent of your money going into evaluation, and though we do ask you to do a lot of evaluation in this program, collect a lot of the data, we need to weigh it out versus whatever else you're going. That can't be the primary focus of what this is, and that's usually the single-largest chunk of

change that goes out with these particular ones. The evaluation component is the largest single piece, unless you're contracting, other than personnel. Or you made a contract for someone to work as your coalition coordinator. You have some of those. Or your project director. Someone like that. You can contract with a project director. Someone to be your project director, coalition coordinator -- we just need to make sure, and I'm glad I brought that up, because we need to make sure under contract, to avoid conflict of interest. This means you can't hire your husband or wife to do this if you are the employing agent. You have to be really careful of conflict of interest in doing those and this is something that you can find under the administrative guides to explain out conflict of interest. So this is something we really look carefully at to try to avoid this the best way we can. So, I have been known to call people that have the same last name, even Jones, and say, are you related to this person. And how are you related to this person. Because we're very serious about that. We try very hard to make this do that and the reason we do that in grants management -- this is not just money we're giving you to make sure that I'm not going to jail, but we're also -- this is my tax dollars I'm giving you and I'm real stingy. And I want to make sure it's being used the best way that it can. So I always think of it that way. This is our tax money and every year they

get a little bit more. So we want to make sure that it's being used the correct way with it.

Well, it may be something that -- that's part of what we've done a little bit more into this area. It's some of the things that we've done.

OK. Let me just -- we'll go over in-kind in a minute.

The indirect costs -- you need -- if you claim indirect costs, you need to have a negotiated cost rate agreement from what they call the Cognizant Agency. That's the agency that you get the most federal dollars from. In some cases that will be the school that you have. It may be the Department of Education doing that. Some of the states have different ones, but you need to have an indirect cost rate agreement. Basically, it's simply a pool of administrative costs that go in. They figure out how much of the percentage of your overall budget goes into that. There's a real long formula for it. And they do that. We recommend that you take a look at this and do this, not only because of here but as you grow and begin to develop and get more and more funding streams, this will be something that will help you out. When you have this rate agreement, it allows you to cover some of those overhead administrative costs that start



to get kind of hard to direct a line item to a particular program. If you don't have a rate agreement and you wish to look at one and obtain one, you cannot get it until you have a grant, but this is the Web site to go and take a look at that and explain how you go ahead and get an indirect rate.

Doing the calculation of future years. We want your program to be successful. You've sat down. You've spent a lot of time figuring out everything. If you're like me when I was writing them it was like, man, I've got all that program work done. Now how am I going to spend this money. Like the day before it was due, trying to figure out how that money would be spent. So what we want you to do is start taking a look and take that and if you look at the calculation of future year funds in your sample budget you'll see it's one page. It needs to be both your match and your actual costs. We need you to -- if there's a budget increase or decrease in something, a dramatic one, we need to know minor fluctuations. We understand that particular one. But I think, if you'll see the sample on it, we have the rent went up and that was because our lease agreement had it to go up. Just something explaining that. We looked at more -- our coalition members, we looked at that growing, expanding. We have an increase in that amount of money because we're going to pull them in. That's a very reasonable thing over a five-year

timeframe. I would think by my fifth year I would have them more involved in doing things. That would be the set-up with that. And again, remember the total has to be only the \$100,000. We're still going with that. On this particular budget we'll do that for your calculation of future years. You need to show all of your projected costs, as required, because when you start getting to Years seven and eight, your match goes up. Nine and 10 is up. So, if you're in that particular one, you're applying for year six, you're going to have to show the match as to what you're required in those other -- in years seven, eight, nine and 10. Not the sample that we have with the \$100,000 on it. Again, we will send that back to you if you have to do it and ask you to reset that up for us.

We're going to get into the cost sharing and the match. This is one -- do not be afraid of this. It sounds really easy. You know, \$100,000 we've got to come up with in doing this. It doesn't have to be cash. It can be in-kind match and in-kind match can be volunteer hours, it can be the donation of someone doing something. We had a question about the evaluator. If the evaluator donates part of their time or all of their time to doing this, that is in-kind match, as long as they're not being paid through another federal program to do this. You can count all of those as match. Oftentimes, what happens is it just

sounds overwhelming. \$100,000 to do that. In the course of the years that I have worked with this program, I have had three people call me and say, Barb, I can't come up with the match for this year and I've already spent all of my federal money. So we say down with their application and went through and lo and behold, what did we do, we came up with almost twice as much match as they had to. It's a whole lot easier than it sounds when you first initially see that overwhelming \$100,000. So, mine is don't be afraid to look at this match and make sure. You can get this \$100,000. As you go along, you'll do it. The worst thing we've had is in some of them, the calculation of future years, which you've listed down on your future years is not what you get, and now they're saying I can make so much more match now than I thought I could my first year. And we're talking in their second year and what you put on that form is what you'll get. So, we need you to -- I'm just saying, be realistic. Only ask for the amount of money each year that you're going to need to complete this project and to meet the mission and the goals and objectives of it. But realize that sometimes this match, you're going to be growing, and as you start doing this people are going to start seeing you, people will come to you and try to, you know, do this. I'm not saying that they're going to throw money at you, but they're going to be willing to work with you because you're doing good work in

that community. You're helping to save our children and doing this. So you'll find that this match comes a little bit easier than you thought.

You cannot use federal funds or federal funds that are passed through the state in order to meet this match, with the exception that's listed in the RFA regarding native groups and that's basically, if your coalition has someone from the Bureau of Indian Health Services, a representative from that, the Bureau of Indian Affairs, or the tribal government, with substance abuse expertise -- substance abuse prevention, treatment, expertise, that you can use some of the federal funds that are given to the coalition for substance abuse activities. This is documented, again, when we've got -- when you give us that roster of the MOUs -- all of that kind of stuff is set up with that. Please read through that one carefully. It is on you to know where the source of the funds came from. So if you're using state money and you're not sure -- it is your responsibility to make sure that that did not start originate with the federal government. Most of your highway safety money does. Most of your -- your tobacco settlement money does not. Oxycontin settlement money does not. This is private money that is given to the state, but it does -- it's on a national scale

but it's not federal money to start with. So you need to check that one out.

Federal funds cannot be allocated. If -- I'm sorry. I said that wrong. If federal funds cannot be used to pay for a certain cost, then that cost cannot be listed under your match. That's the -- other -- that is.

**[audience member]:**

Can construction?

**Barbara:**

Construction. That's correct. You cannot build, so you cannot count building a house as part of your match. Grant -- you cannot use your federal dollars to pay for a grant writer. Therefore grant writing services cannot be listed under the match category. You cannot use the federal dollars to buy the supplies for the teens to have a car wash as a fundraiser. Therefore, you cannot count the donation of the water from the 7-11 where they let them have it for free. You can't count that as part of the match. It's a wonderful thing to have, but you can't use it as part of the match for this program. Because it was a fundraising activity and fundraising activities you cannot

use federal dollars for fundraising in doing that. So those are a couple of things we have with that.

**Ken Shapiro:**

This slide, Barbara, and then we're going to take a break.

**Barbara:**

Final piece we have for you on the match category is just to remind you what it is from Year One through Six, it's 100 percent match. It does not have to be in the same budget category. That is, if I have \$35,000 in personnel, I do not have \$35,000 in my match category. It's my total bottom numbers that have to match there. If your year -- when you start getting into year seven and eight, you have to have 125 percent match. This is part of our sustainability. 125 percent for the federal dollars that you request and nine and 10 is 150 percent match for the federal dollars you request. This cannot be changed. This is in the authorizing legislation. I get asked that at least twice every year. Where does this come? It's in the authorizing legislation. We cannot make a change on that.

If you cannot make the match and you spend your federal dollars, guess what you have to give back. The money that you spent over the match that you made in doing that. That's it.

**Ken Shapiro:**

All right. We're going to take a 15-minute break. There is some coffee and water in the room in the back. If you're going -- I imagine we're going to have a serious traffic jam there, though, so fill your coffee cup and then move your behind.

**Mike Kasinsky:**

Ladies and gentlemen, if I can get your attention very quickly -  
- I would like to get any organization that is servicing Native American communities or any organization that is affiliated with the Best Friends Foundation to get one of the cards and leave your name and address and phone number. We'd like to get some information to you about some federal resources that are available and scholarships to those organizations. So if you could please just leave your name, your organization and a phone number or some type of contact, and we'll get some information out to you.

**END OF AUDIO FILE FOUR**

**Grant Application**

**Ken Shapiro:**

We have one hour.

**Barbara:**

We have one hour.

**Ken Shapiro:**

Including some time for Q&A.

**Barbara:**

OK. One hour to go over all these forms that we have. In an exciting and scintillating way we're going to do that. OK. What we wanted to do -- if you can take out -- you have this package for you. We had available -- it's this grant application. It's called the PHS5161-1. This is the official application for this program. You must complete this application packet or you will be processed out. We won't even look at it. So, what I want to do here -- we just -- you all -- when you get back, take a look at this packet. I don't want to, you know, you can read through the instructions. It can tell you the -- well hello, Jack. There are various sections in this. Some of which you do and you do not fill out. The reason that we have any -- that we're spending any time on this particular one is that, again, these are things that we, as we're working this process and reviewing this in our application thing, this is what we see and these are some of the stumbling



blocks that we had or we had to call someone and ask them for some more information. So we want to make this as easy for you to start with. You don't have to call up and try to ask questions regarding it. Or we don't have to get back to you and we can make this process move forward with you because sometimes nothing is more frustrating than filling out government forms. Because they all mean something different. Just think of this as your tax forms. OK.

In your 5161, the first section we have is the SF424, that's the application for federal assistance. There are two versions. Version One and Two in this application packet. You will have version two. I'm just going to go over these pieces. We're going to talk some about individual ones when you see some of your slides, you'll see it there.

We have the 424A. That is the budget information form. This is a really important form that you fill out and fill it out and correctly. This is what we use to determine how much money you have asked for in this program. This is what we use to populate those areas on a grant award. And we need you to fill out Sections B, C, E and F on the 424B. This is the assurances for non-construction programs. We are a non-construction program. This is going to be for your reference. You'll see a part in

there for you to sign it and fill it in, send it in. You do not have to do that now, not if you use the Version 2 of the 424. When you do that -- C -- 424C is the budget information for construction programs. Don't send that. Don't fill that one out.

424D, assurances for construction programs. Forget it. Don't fill that one out. You have a place in there where it says certifications. The next piece. That is again for your reference. It shows that you can sign it and send it in. You do not have to do that this year if you use that Version 2. Yes, sir?

**[audience member]:**

(inaudible)

**Barbara:**

The 424D -- B - yes, you have to complete certain sections of that. We're going to go over that one because that's important that you fill that one out. And, the program narrative and the budget narrative or the budget section, you're going to use what's in the RFA that we've talked extensively about today. Using that for those. And then there is a checklist in this section. We want you -- you need to fill out that checklist.

This particular grant application contains some information about the public health services. Tells you a little bit about that. We ask that you go ahead and read through that. Please read the instructions on it. That should help you out some. You can download this application packet off of the SAMSHA Web site. You go to the -- it's [www.samsha.org](http://www.samsha.org). You go to the Web site, under grants, it will have applying for new grants. That's where you can download these forms. All of these forms that we talk about today are downloaded from there. The 5161. You can also do it on [grants.gov](http://grants.gov) if you choose to do that. And, as I said before, if it is not submitted, it will not be reviewed.

If you go to the first one -- now we know, when I put this in, we knew that you weren't going to be able to read this form. Remember we talked -- this is going on a Web site. We just kind of want to make sure everybody is on the same one. This is the first page of the 424 Version 2. You have it in this packet, if I can. It's -- it may be a little easier right here. It's in the packet of -- that's one reason we provided the packet. We just want to point out a couple of things that have caused a little bit of difficulty or a question that we've had people call about or that we've had to check on. And the first one, if

you look at Item Number 8, this is the legal name. This needs to be the applying agent. This needs to be who the grantee is going to go -- it could be the fiscal agent. It needs to be the grantee. It needs to be the applying agent. It needs to be the group that holds the programmatic and fiscal requirements of this grant. It needs to be the group that either is or represents a coalition. It needs to be a legal entity. It needs to have -- if the grantee is not the coalition, you need to use the grantee's DUNS and EIN number. EIN is employee -- it's your tax number. Employee Identification Number. That's the tax number. You need to have that in there. The DUNS number is -- Dunne and Bradstreet number, it's to tell for fiscal things. You need to go on and apply for one of those. You have to have a DUNS number to apply for federal assistance. Yes, ma'am?

**[audience member:]**

(inaudible)

**Barbara:**

For your DUNS number and EIN? You use the same ones you have. You use the same ones you have doing those. These are the ones you have. The funds can not -- the grantee, whoever is applying for this money, whoever is assuming the fiscal and programmatic

responsibilities for this grant that comes out -- they cannot simply take the money and pass it through to another agent to work through. They must have substantial involvement. This can be done as a match. If they're providing the fiscal management for this grant, they've got to have some kind of involvement and that is where we were talking about this last part -- we expect this to be a long-term relationship between a coalition and the grantee. That's when we're talking about having some -- we suggest that formal thing between the two, outlining the roles and responsibilities of each group. So that everybody knows where they are. This is a five-year program, and we would like to see that cooperation work together for that entire five years doing that. So we really want -- this is not something, if you're representing a coalition that is not a legal entity in its own right, not that you're not legal but you don't have the business piece of it. You don't have -- you don't have incorporation papers through the state or federal government. You don't have many of those. You're a group of active, concerned citizens working together. You need someone that's got this other piece. You need to work very closely with them. That grantee, fiscal agent, whatever you want to call them, should be a member of your coalition. We had one question regarding that. Could one agent from the coalition -- one organization in the coalition, could they apply for this grant?

Yes. And work together as a group to meet the program mission and goals and objectives. That's what we'd like for you to do.

If you go to the second page -- we're on the second page of this form. This is what it looks like. BINGO. You're going to have -- there's a place on there that asks you for the catalogue of federal domestic assistance number. If you got that right on there. It's on the second page there. It's 93.276. I just started to put that on my voice mail at one point. People, you know, didn't -- it's also on the front page of your RFA, but that's OK. If you don't remember we'll answer it for you and set it up.

The funding opportunity number is SP-07-001. And the title for this program is the drug-free communities support program. That's what should be under that -- where it says title of program. Not the name of your program, but this is what we've -- that's what they're looking for under this particular one.

You can use that drug-free one. You can use that on there. What we're doing -- the ones that need to be -- some of them don't have to be populated. OK. It gets kind of confusing. We have all these blanks that we want to, you know, fill them in, but some of them don't have to be.

We're going to go to page three. There are a couple of things on it. And I have, in addition to that, I need to see one a second. Can I -- OK. Thank you. Because I wanted to point out a couple of different ones that aren't on this particular side. If you look at number 16, item 16, it has congressional district. It has applicant. And then program or project. Applicant would be where that applicant agency is located. What is the congressional district that is. And the program and project would be the congressional district or districts that is the catchment area for this drug-free communities program, setting those up.

Item number 17, proposed project date, proposed project start date, is 9-30-2007. You can actually write on these if you want. Unless you're going to run these in a typewriter, I would download them and fill them out online. They're a Word document that you can use. So that's number 17 -- start date, is 9-30-2007. Project end date is 9-29-2012. That is if you are applying for the five year. If you are a DFC grantee that received funding for two or three years, had a lapse for whatever reason that you had a lapse in there, and you're coming back -- say, you were funded for two years, you had a lapse in year three, you're going to then apply for year three and you

would count whatever year -- and then four and five. So you might have a different end date on there. You would have a different end date. But those are very specific in doing that, so if that comes in and it's wrong, we can make a change on that.

Item 18 is estimated funding. 18A, the amount of federal funding. What's the maximum amount you can ask for? \$100,000. OK. Then we have, in B through E, that is where you're going to list the match. If it comes from you, the applicant, if it's money from the state that has originated with the state, local means money that's originated with the local government, whether it's county or city or both that you might have gotten some money from to do a project. And then other would be anything else. Third-party in-kind. Things could go under other. Program income would be any income that's generated from this project as a result of having the grant activities. It's very rare for you all to have program income, but there are some that do have it. It could be if you got approved to design a video tape or something and you sold that, you might get some profit from that. That would be program income. Program income must be used to supplement this program. It can be used as match. It has to go back into the program.



Other would be like your third-party in-kind donations, things like that. That is probably where you'd put your volunteer hours, estimate times on those, set them up.

Number 19, on this one, is the subject to executive review.

There is a program that -- and there are some states are -- and I believe that you have a list of the states that do have -- that are subject to executive review. That means that you need to send in the application and let them know that you're applying for it. This is what you're doing and it can be subject to review. You need to mark here on that. There is a Web site on here that tells you where it is, but I do believe that we had those papers ready to hand out for you.

The last item, 21, is the authorized signature. This is the person who is legally responsible for the application and to accept the grant funds. In some cases that may be the mayor, it may be the executive director of the agency. We don't have any state grants, otherwise it might be the governor who would be responsible for that.

That's just kind of some of the things we see on this one. Most of the rest of this is self-explanatory if you read the

directions that are attached to the back of this form. These are some of the questions we have.

If you look at Item -- go ahead. The 424A. This is really the important document on this one. This is a very important document because this is the budget one. This is the budget form that you send in. And I know it sounds like, gee, you're asking me to do it this way and then send it in this way and then do it this other way, yeah we are. We are. It's to provide you and us with -- to expedite the things as we go along, because there's a variety of different groups that review different portions of this particular application when it comes in.

In the 424A, in the section, this is where we're going to talk about. You're going to leave Section A blank. You don't need to put anything in that, in Section A. When we get down to Section B, you'll notice that the cost categories are set up, just as we set them up into your budget narrative and all of the different budget pieces that we talked about previously, except that we have -- it's set up into two columns. I want you to do, in Column A, in Column 1, Section B Column 1 will be the federal request that you have. Under personnel. You'll see contracts.

You'll see there is no consultant section. We want you to put any consultant under contract. With it --

Section B, column 2, is the non-federal match. We're going to ask you to break that down. You're going to break that down in your budget narrative, that big long thing that we just spent an hour going over how to do them. We're going to have you do it in here, too. Now, during the break, someone asked about a couple of things under the match, and I want to just hit that. How are we going to tell how much money someone is donating in time and effort to different things. If you have, say, you have a volunteer and someone, Mary comes in and says, I'll help do that. And set them up. You count -- if they're doing -- if they're paid through their job, as long as it's not federal money, you count what their hourly or yearly rate is for the time that they've spent there. So if Mary comes in -- if I come in -- well, I'm paid by federal, but say when I was doing my other work I wasn't, I would come in and sit on your coalition and I would mark down that my hourly rate was \$15.60 an hour and I was at your meeting for an hour and that's how you could figure out how much money, or, you know, over a period of time or whatever we were doing. You'd do it that way. You pay someone -- you count, if someone is doing volunteer work for you, you count them at the rate that they would be paid if they

were doing that job. Best thing I can tell you, the example I want to give is a physician. If you have a program as a match and it's a service program and a physician comes in and offers free camp physicals to your kids that are going to something drug-free camp that you're having, you can count his timeframe - - his or her, pardon me -- time at what it would pay for a physician to do that. To do those physicals. How much an hour. How much a physical would be.

If that same physician says hey, I just want to come to the camp and work with the kids and I'll teach basket weaving to the kids, then you can only count what you would pay someone to teach basket weaving. Not at the rate of a physician, which is probably much more than someone that way. OK? So you need to judge what they're actually doing for you, in order to determine what that rate is for someone to be paid with it. Again, remember, if you have program income you want to list it on here. If you have an indirect cost in here, please don't forget to put your indirect costs on there. And set that up.

The next one we're going to look at the second page there. Of this form. The 424 -- Section C. We need you to complete that particular form. That section there, Section C, the program is DFC. You only have one program that you're listing on this

application. That's DFC. You're going to put that in there. You're going to break that down again. Remember that 424 page where we said the applicant, the local, the state and other, those two should correspond. This should correspond with that, which should correspond with that budget narrative section which we put into the grant. They all need to correspond.

Section D you're going to leave blank.

Section E, this is probably the one that gives everyone the most confusion. If you read that one, what it is is you're going to -- this is your estimate of funds needed for the balance of the project. So if you are applying for Year One, the first year of the balance of the project is Year Two. Then three. Four. And Five. So, if you look at those columns it will say, your first one is going to be A. It's a DFC. That's what's going to go in there. That's the title of this program. Then it says -- it will say first, second, third and fourth -- that's year two, three, four, and five. Under -- we're looking at Section E. Section E. This one comes up a little -- this is what we're looking at right here. This one right here. This is really important, folks, to fill this one out. Because this is the one that we go back in and we take a look at in our grant review office and this is what's going to be determined as to what your

future years of funding is going to be -- what's going to be available to you for future years of funding. So, if you write in only one year, say the first -- if you don't put anything in this, we assume that you just want one year of funding from this grant. That's what you'll be awarded. If you are going to be awarded a grant, this is what you would get. So you need to be really careful and fill this one out with what you need to complete this project and that's why we're looking at that calculation of future years to try to get you so this is going to meet the needs of your program throughout that five-year timeframe. And we realize that that's difficult, but that's what we need you to do.

If you are a year six grantee, applying for year six, your first -- where it says First, Column B -- that's year seven, eight, nine and 10. If you had a break in there and you were funded for two years and now you're applying for year three, column b would be four, c, five, and that's all you can -- that's all you can put in there. Because you can only receive up to the five -- it's a five-year -- complete that five-year timeframe. OK? It really -- if you do have questions, don't hesitate to call one of us and ask while you're doing it because this is a really important one. It has caused some additional ones on there.

Section F, we want you to complete if you did request indirect costs and want it for this one, we need you to go ahead and have it. Now, when you complete the costs for future year funding, that is to be both your direct and your indirect costs. Don't just say, oh, this is direct and write in direct -- put both of them together. That's the total amount that you need for future-years funding. Indirect and direct costs, that next section, that's a separate one. That's a separate one. It is not tied into that section.

Then you have the assurances and certifications as part of this application packet. We want you to go ahead -- those are to be kept for your reference. Now, when you fill out Version Two, sign on number 21, you're saying that you accept the assurances and certifications. When you read it, it says I certify that we accept these. These are what you're certifying that you're accepting. That person.

OK. Section E is federal money. All of your federal money. Your match doesn't go in that. Match goes on column in Section B.

**Jack Claypool:**

Guys, let me ask you if we could -- write those down because we need to have a record for them. I hate to keep doing that because I know that may interrupt your thought process and where Barbara is. We're used to having to jump back and forth. So, if you don't mind, just write those down for us. If you need a card, Doug and some of the others are walking around with those. We really do need to have those so we can make it kind of standard for each of the workshops. And keep in mind we are recording everything today so it goes on the web. Folks won't have the benefit of your question.

**Barbara:**

OK. So your assurances in doing that, that's for your reference when you sign on Line 21 on 424 of Version Two, that tells you that that's what you're doing, so that you know what you've signed for.

The checklist -- this is the last piece that we're going to talk about on forms. This is not a real long form. Go to the next one. What we will need you to do is to take a look. The type of application you're applying for is new. There is a section on this one that talks about HHS Form 690. This goes to the office of civil rights. It can be downloaded at our Web site under the grants section and applying for the new SAMSHA grants.



What you need to show on this one? It asks you what date it was sent in. That's what we need you to do. You need to send it to the office of civil rights. It's on that form and it tells you all what you need to say on that one.

We're going to look at the bottom section of that checklist. We split that up. Under Part B, you have a public health impact statement. It tells you that. If you will look at the RFA Application requirements, it tells you where that's supposed to be sent in to. On D, you have a list of -- along with that list that showed you all the spot, the single-point of contacts, there's also the list of the agents that you can send that too. The checklist is way in the back of this packet.

OK. And then in Part C of this one, of the checklist, we have signatures on this one. The name of the business official needs to be the person with signatory authority. Someone who can sign for the business end of this. We need to have the name of the project director. That should be the same of the person who's on the 424 for contacting this information. In other words, we don't want a grant writer listed as the contact person. In doing that, your address needs to be a physical address, not a PO Box. There should be some physical address that we could get that with. There is a -- under the project director they ask

for Social Security Number. We don't need that. That's sometimes needed for some other applications for NIH. We don't need to have that with this one. And it says for you to use your SAMSHA 12-digit EIN number. Use your nine-digit EIN number. Put your EIN number there. Most of you don't have a 12-digit EIN number. It just has some information that we use for coding. It's on the checklist, section C.

Section C of the checklist, EIN number is underneath the business person. Just remember to use, you know, just use yours. You don't have a 12-digit EIN number. You have a 9-digit one. So if you don't have that, just put that 9-digit one in there. Again, it's just to avoid getting, you know, confusion and calls with it.

One more. OK. The last piece, Part D, again, we want to make sure you see them. Part D on this one, if you are a non-profit agent, even if you have sent paperwork in before with that, please re-send it in with this. Include the IRS paperwork that shows your EIN number. That way --- we do go back and have to verify those. So even if you sent it in with another application, sent it in for a HIV grant or something else to SAMSHA, we ask that you re-send it in with this one. And do those. You may use -- any of those. You do not have to be a

501c3. If you look at it, you can have incorporated -- non-profit incorporated papers from your state. They are acceptable.

You have a disclosure of lobbying activities. You only fill this out if you lobby. If you don't lobby, put NA on it and stick it back in the packet because that's one of the pieces on there and you can go from there. Most of you won't have lobbying activities.

OK. Required application components. Someone asked if we would kind of wrap this up and I think we've got them in this particular one. This is -- we're finished with that forms, there. They're -- just look at them and do it. We just wanted to touch base on some of those. It's kind of hard to make that exciting and fun to do.

The required application components, we're going to start with the Face Page. That's that 424 page. We're going to put in an abstract in there that's been listed in the RFA that we've talked about today, that Ken talked about. You're going to put in a table of contents. Please put page numbers on it. Then number your pages in your application. You're going to put your budget form. Filling all that out with it. Your program

narrative and any supporting documented. Your appendices. Your lobbying. Your checklist. And then your assurance of compliance with charitable choice. That should have been your form -- what is it -- SMA170. It was on the top page for a lot of you on your RFA when you picked it up. Please read that. That needs to be included in here. SAMSHA does comply with that and charitable choice. If it's not here, it's found on the SAMSHA Web site when you have it.

The one area where everyone can be basically the same in and formatting, that's the formatting piece for this -- and we just want to touch on a few things that we have with the formatting. Your number of pages for your program narrative is 22. Maximum. If you can answer the questions in less, then that's fine. But if you can just put your program forward best, explain what you're doing, set it up -- you may use less. You may not use more. It comes in with more, it goes out. Because that is the requirement on here. We do that. Paper size needs to be 8 1/2 x 11. That includes all charts. Don't fold a part. Don't put it on legal and fold it up for a chart. The chart has to go on an 8 1/2 x 11. We just can't handle the volume that comes in and make the copies to do that with them. We use type size. We haven't quite graduated yet to the other, and that's because this is what's in our legislation. It comes out to about 12

point on that. And your page layout -- one-inch margins, especially if you're using grants.gov, you have to one-inch margins all the way around. Or something won't print out correctly. You need to single space it and make it one column. It needs to be done in black ink and one-sided. Do not staple, fold, mutilate, bind in any way these forms. I would suggest that if you do that, put a footer on it -- make sure that you put the name of your group and the grant award number. You know, the funding number, that SM number -- I mean, that SP number that we had up there. I would say do something like that because if, for some reason, it comes in and, whoops -- I mean, we are human. Then we can, you know, a little bit easier assemble it and make sure that everything gets together that's supposed to be there. We haven't had that happen yet, but there's always a possibility with it. We need you to adhere to the funding limits, that includes both the federal share and the match share. We've gone over that numerous, numerous times with it. And we need you to complete and submit this application.

If we do not get the 5161 application, it won't even go to peer review. It gets put into -- just don't. I'm serious. It's off to the side because that's what we -- we have to have those forms. That's a requirement by the federal government that we have them in doing it. You can submit your application -- it is

due April 17, 2007. Close of business. 5:00 p.m. Eastern time. Not Alaska time. I've got a gentleman up here from Alaska. Not five their time. Five Eastern time. If it needs to be submitted and if you're going to submit it as a hard copy, we need the original and two copies of that to come in. It cannot be faxed, hand-carried or e-mailed. It will not be accepted in those forms. It must come in through a common carrier. You can use UPS. DHL. Or FedEx as a carrier. Or the US Postal Service in doing those. You must show timely submission. Remember, Jack, I think was talking about -- you will get a card within 30 days after it comes in -- you'll get a card. Timely submission for using the US postal service will be it postmarked one week before the due date. You need to have a receipt from the post office with a name -- a stamp-dated receipt showing that on there. That you did postmark it the week before in order for it to be accepted. I mean, if you said it came in and it didn't arrive for whatever reason to do that. Make sure that the address and zip codes are correct on it. They are in your RFA.

If you send it certified mail, that slip showing certified mail, that is proof of it coming. If you send it through another carrier, proof is within, I think, it's 24 hours prior to the submission deadline on the other carrier. The 17<sup>th</sup>? What day of

the week is that? It's a Tuesday. UPS isn't open on Saturday, folks, or Sunday. Remember that. So it's your responsibility to make sure that your carrier is open the day that you send it. In doing this.

The other way that you can submit it is through -- we accept them through an electronic version through grants.gov. Ken, do you want to give me the next one. Through grants.gov. It's an online submissions. It's [www.grants.gov](http://www.grants.gov). You can go on there -- you will need a DUNS number. If you choose to use this form, excellent way to apply for different grants. Do not wait until the day that it is due to try to do this. There is a registration process. It's several pieces in this registration process. It takes at least two weeks to get that process done and a password to you. Do you know how many federal grant programs are due around this time? For next year? If you choose to do this, I would say, when you go back, just start looking on this. Get those registrations process started. If you have registered previously on here and used it, go back in and check and make sure that your registration is still valid and you're still able to open up and pass what you need to get through to submit your documents. Because sometimes that doesn't work. Grants.gov goes -- it's Eastern Time. They have a help desk. They are very friendly and helpful. They are not

there at 11 p.m. on the night this is due. They are not there at 11:59. It closes at 11:59. On the 17<sup>th</sup>. So don't wait until then because that's not going to count as, gee, I couldn't get it in. Because we need to know that you -- once you submit, we suggest that you pull these down offline, that you fill out the forms. There is a limit to the number of words you're allowed. I think it's 11,300 or something like that. It's in the RFA. It tells you. Put your -- load them up. You'll get a tracking number. You do need to keep that tracking number because you do have to submit documents that are signed to us.

Five days after submission on grants.gov, we need to receive the signed document, that 424A that we talked about signing for certification -- we need to have that sent to us. Please put your tracking number on there. If, for some reason, we can't download it, you can demonstrate that it was sent because you have a tracking number that that was sent for.

The last piece that we're going to talk just a couple of minutes about and that's the financial capability review. This is -- what we do is we take a look at the financial policy and procedures, the accounting policies and procedures. This is a very important thing that you have. It assures us that the applying agent has the capability of handling federal grants,



that they know -- they have some business background in that. They have some accounting policies and procedures in place. They have personnel, travel, that kind of things, all going. That they are a business and they can do those funds. It helps us reduce waste, fraud, and misuse of federal funds. And that's what we really all want to make sure.

It's also a good piece for you to have because it will help you -- if you build these policies and procedures and set up this type of business. This is a business that we're working with. Then, it will help you in applying for future funds in different agencies. Next one.

They are performed -- someone asked about the audit. If you spend over \$500,000 of federal dollars, federal funds in one year, then you have to submit a single audit and it goes under this A133 and you will know if you have to do one and what's required for that. It goes in. So they'll go in and look at that. If you have it -- if you don't have that amount of money you've spent and don't have that single audit, you may get a request for some policies and procedures, some statements, some financial statements, it will come from either SAMSHA or you may get the Office of the Inspector General. They're helping us out with these because we do these for all of SAMSHA applicants.

That, they may come out and take a look and say, we want to come and meet with you and you may have an on-site review. We're all basically looking for the same thing. Obviously, on-site is a little more in-depth than what you may get someone in the mail asking you to send something with that.

When the submission is received, we're going to review it to see that it meets the certain standards, what kinds of things you talk about setting up -- there are certain policies and procedures that you have to have if you do receive federal funds. We don't often have -- some people don't have that in a drug-free workplace. Some things along those lines. The other one that we see a lot of is conflict of interest. And handling of charge cards and credit cards. Those are some things that you might want to take a look at if you're asked -- to make sure that you have something around those in there. They'll take a look. They'll measure them up against other regulations, and then based on that review, they may determine that they need further information from you. You may need to make some changes in that, and they'll send you -- the accounting division will send you a thing saying here's what we need to see in here. We found this deficient in A, B, or C, and could do that. Could you send them in. Or they'll determine that you have the financial capability to administer these funds.

I think we've got one more here. We just want to make it, that you know that we don't generally -- SAMSHA doesn't generally withhold funds or ability to draw down money just based on this financial. You will be given an opportunity to make corrections, especially if it's around some of your policies and procedures. Now, if you do have audit findings or there are problems around that listed in the audit, that might put a hold on that, but there is a capability of being able to request the funds to draw them done. It's just that it's done on a reimbursement piece where you would submit some forms in and we would review them and process them that way until the deficiencies are improved and corrected.

The last thing we're going to do just here is just where to get some contact for some additional information. If it's program issues, you can get a hold of Jamie Marshall. She's been there. You can go to the SAMSHA Web site and pick up some other information off of that. There's just a wealth of information there doing that. If you have grants management questions, you can contact Kimberly Pendleton. She'll be able to help you with those.

And the last thing we want to do is thank you all. It's been a long week. We wish you good luck in doing that. Do you have more questions you want to answer?

### **Q&A**

#### **Ken Shapiro:**

Yeah, I think we're going to -- we asked them to stay 'til four so we're going to use that time and answer just a couple of more questions, and then we'll let you leave.

#### **Jack Claypool:**

Obviously, for the sake of time, we're not going to get to all of the questions this afternoon that you've submitted, so if you have a specific question and you want to grab one of us before you walk out, please feel free to do that. Also, the questions that you've submitted will be available online once we get them posted to the web page. So if we don't get to yours this afternoon, we'll have a way to get that answered for you.

A couple of real generic ones we do want to hit, because a lot of the ones this afternoon are very specific questions you had related to filling out the financial paperwork, but there were some specific -- I mean, some more general ones that I think

it's appropriate for us to cover. First of all, it says, can an application be revised after it has been submitted? No. OK. That's why it's called a deadline. It's not fair -- I don't mean that smart alecky. I'm sorry. It's been a long week. It's not fair to everybody else who doesn't then have a great idea once they submit it and they don't have access. So, once it's in, it's in.

Another one -- what kind of staff do coalitions generally put in their budget. You know, this is a question we do get a lot and several of our coalitions around the country have gone to calling their key staff person they've funded through the coalition funds a community mobilizer. OK. Think about that concept for a second. We're looking for folks who are helping to build relationships, get the players to the table, get them actively involved bringing their resources. Those are the types of folks that we really do see the most of in being successful in coalitions. But sometimes there are some administrative and support staff and other things like that as well.

It says, is it possible to ask for a certain amount of grant funds, but be approved for a lesser amount? We do not just arbitrarily cut your amount. As you're going through the review process, if there is a discrepancy in the budget, then you get a

call from our friends at SAMSHA and we'll get it worked out. But, if you ask for \$100, you don't all of a sudden get a notice of grant award that says we're going to give you \$15,000. OK. So if there is a discrepancy in there, then we'll deal with that as it goes through the process.

And a final question this afternoon -- will the same funding be available for new grants next year? Or do we have to wait five years before we can reapply? No, you don't have to wait five years before you can reapply.

A couple of things about next year --

**Ken Shapiro:**

If we have an appropriation.

**Jack Claypool:**

I'm getting to that.

**Ken Shapiro:**

OK.

**Jack Claypool:**

Would you have some patience man. He's wanting to get to the cards that all of you submitted after we had the discussion earlier in the day that we're not going to read into the record, like, how old is Ken. Do you want me to answer that one? OK. That's what I thought.

You can tell we have fun with what we do. Like we said, two of us, 747 of you. We have to have a little fun or we go crazy. As I said at the beginning of the day today, a key player in this is Congress. They play two roles. Authorize -- in other words, you can have a program. Number two, they appropriate. They give us the money to spend in the program. OK. So, as long as Congress authorizes and appropriates, we currently have a five-year authorization, so hopefully they don't rescind that, and hopefully they fund us where we are or more -- as we said, this morning, the president is asking for an additional \$10 million, so we're looking at, hopefully, \$90 million as we begin the congressional process with this. For those of you who are here for Hill Day and get all of your training and orientation on how to talk to legislative staff, keep making sure that they know that this is a great program. But, as long as Congress appropriates the money, then, if you don't get funded this year, we have an appropriations next year. Absolutely, you can reapply. I'll remind you that next year, hopefully we'll be

able to go to \$125 per year -- \$125,000 per year grant ceiling. I would also remind you that this year we're looking at making approximately 60 grants. It's going to be a tough year. So I want to encourage you to pay real close attention to your applications. Be real detailed. If you've got questions, we have some great technical assistance from the guys at the Institute. You also have a number of contacts in here that you've had access to. Ken and I are somewhat limited in the detail that we can provide you, just because of the role we play as the administrators and our boss plays as the ultimate decision maker in the process.

So, that's why we have as many players in the process as we do to help get you funded. Guys, we can't emphasize enough -- we think this is the most incredible program in the federal government in terms of saving lives and organizing communities. We are very blessed to have the opportunity to work on it from this end, whether it's from ONDCP, SAMSHA, SEASAP, the Coalition Institute, Batel and each of the partners -- it's awesome for us to see the incredible things that you guys are doing. And let me say today, if you don't get funded this year, please do not lose heart. Keep your community going. Do what you can with your partners around the table. The work that is done at the local level, the change coalition and community environments, is



what's going to save kids lives in our country. I believe that with all of my heart, or I wouldn't have uprooted my family and moved to Washington, DC. Guys, this is an incredible effort. We wish you the best of luck in the process, and if you have any detailed questions, let us know. Otherwise, safe travels. God bless you all. Thank you.

[applause]

**End - Drug-Free Communication Feb. 16, 2007 Washington, D.C.**